



Participación Cívica Project

Quarterly Report July 2016 – September 2016

Annual Report – Year 1

DISCLAIMER

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ACRONYMS

ASIES	Association for Social Studies and Research (<i>Asociación de Investigación y Estudios Sociales</i> in Spanish)
BSMP	Branding Strategy and Marking Plan
CBAP	Capacity Building Action Plan
CICIG	International Commission against Impunity in Guatemala (<i>Comisión Internacional contra la Impunidad en Guatemala</i> in Spanish)
COP	Chief of Party
COPRET	Presidential Transparency Commission (<i>Comisión Presidencial de Transparencia</i> in Spanish)
CP	Community of Practice
CSO	Civil Society Organization
DCOP	Deputy Chief of Party
FADS	Relatives and Friends Against Crime and Kidnapping (<i>Familiares y Amigos contra la Delincuencia y el Secuestro</i> in Spanish)
FECI	Special Prosecutor against Impunity (or <i>Fiscalía Especial Contra la Impunidad</i> in Spanish)
FUNDESA	Foundation for Guatemala's Development (<i>Fundación para el Desarrollo de Guatemala</i> in Spanish)
GESI	Gender Equity and Social Inclusion
GMU	Grants Management Unit
GOG	Government of Guatemala
IACC	International Anti-Corruption Conference
IFES	International Foundation for Electoral Systems
IS	Institutional Strengthening
ISCS	Institutional Strengthening Combined Subgrant
IREX	International Research and Exchanges Board
LGBTI	Lesbian, Gay, Bisexual, Transgender, and Intersex
M&E	Monitoring and Evaluation
MP	Public Prosecutor (<i>Ministerio Público</i> in Spanish)
NDI	National Democratic Institute
NGO	Non-Governmental Organization
OD	Organizational Development
OGP	Open Government Partnership
PODA	Participatory Organizational Development Assessments
Q	Quarter
RFA	Request for Applications
RRF	Rapid Response Fund
SC	Selection Committee
SENABED	National Secretariat of Forfeited Property (or <i>Secretaría Nacional de Administración de Bienes en Extinción de Dominio</i> in Spanish)
TA	Technical Assistance
USAID	United States Agency for International Development
USG	United States Government
Y	Year

EXECUTIVE SUMMARY

The Civil Society for Accountable Governance and Citizen Security Project, also known as *Participación Cívica*, hereafter referred to as “the Project,” is a five-year Project financed by the U.S. Agency for International Development (USAID) under the framework of the Global Civil Society Strengthening Leader with Associates (GCSS-LWA) Agreement. The overall goal of the Project is to: ***Strengthen and develop the institutional capacity of Civil Society Organizations (CSOs) in Guatemala to play a more effective role in addressing citizen security, accountable governance, and corruption issues.*** The Project will support and build the capacity of CSOs through two complementary and mutually reinforcing objectives:

Objective 1: Support Targeted CSOs’ Efforts to Promote Accountable Governance and Combat Corruption; and

Objective 2: Strengthen Institutional and Technical Capacity of Targeted CSOs.

The Project is implemented by Counterpart International Inc. (Counterpart) in partnership with Palladium International (Palladium), the International Foundation for Electoral Systems (IFES), and the International Research and Exchanges Board (IREX).

In the last two quarters of Year (Y) 1, Project activities increased exponentially in three key areas: Technical Assistance (TA) services, Organizational Development (OD) support, and training. As a result, the Project achieved significant results under all planned interventions, which lay the foundation for the Project’s work in Y2 (See **Appendix VII** for relevant Project Photographs of Q4).

This report also serves as an Annual report, per Section B. Quarterly Performance Report (Performance Monitoring Reports) under the A.5 Reporting and Evaluation section of the Cooperative Agreement, which, in addition to Q4, also summarizes the Project’s achievements in Y1.

One of the Project’s most significant achievements in Y1 was the reactivation of the Open Government Partnership (OGP) in Guatemala, which laid dormant for over a year given the lack of political will and rampant corruption that characterized the previous administration. The OGP initiative seeks to engage the Government of Guatemala (GOG) and Civil Society Organizations (CSOs) in the joint design and implementation of activities to foster the fundamental principles of open government – citizen participation, government transparency, and accountability. The Project strengthened the OGP’s mandate in Guatemala through strategic Technical Assistance (TA) to the CSO Network for Open Government – a coalition of six CSOs set up under the Project’s guidance and technical support – and assistance to improve coordination ties between CSOs and the GOG. These efforts resulted in the participatory design of the 2016-2018 Open Government Action Plan and its adoption by the GOG on August 11. Furthermore, the OGP CSO coalition made a commitment to implement a series of informational meetings with CSOs at large to ensure information flow and status update related to the status of OGP processes. This was not previously the case, which resulted in CSOs’ ignorance about the OGP process in the past.

However, some of the institutional weaknesses currently plaguing the Executive Branch, such as the lack of an agency responsible for overseeing open government activities, may hinder progress under this Plan. In response to this challenge, and to engender the long-term sustainability of the OGP initiative, during Quarter (Q) 4 the Project provided continuous technical and logistical assistance to the CSO Network for Open Government and the OGP’s Point of Contact in government. As a result of this support, in Q4 the Project coordinated monthly Technical Roundtables – a forum where CSOs and the GOG converge to assess progress under the Action Plan – and facilitated the launch of initial activities for a number of Action Plan working groups – the mechanism through which Action Plan commitments will be implemented.

During this quarter, the Project also succeeded in setting the foundation for an Open Parliament initiative, which seeks to apply the same fundamental principles of Open Government to Congress. Because the Legislative Branch is already part of the OGP initiative, as it assumed the responsibility of coordinating the

implementation of two relevant 2016-2018 Open Government Action Plan commitments,¹ an Open Parliament mechanism will complement and expand upon Congress' work and position Guatemala as one of the few countries in the hemisphere following a more comprehensive approach towards the principles of Open Government, one that extends beyond the Executive Branch into other key GOG agencies. Furthermore, the Action Plan to be developed through an Open Parliament initiative will serve as a channel to advocate more effectively for the adoption of reforms aimed at strengthening the legal framework against corruption in Guatemala. To date, the Project's work in this area focused mostly on the creation of a CSO Network for Open Parliament; providing its prospective members with strategic planning support and assistance in drafting the network's governance mechanisms. The Project carried out these tasks in collaboration with the National Democratic Institute (NDI) to take advantage of their close collaboration with Congress and to complement the technical skills of each organization.

In regards to the Project's Institutional Strengthening Combined Subgrant Component (ISCS), the Project issued two Requests for Applications (RFA) in Y1 for Phase 1 (Q3) and Phase 2 (Q4). The Phase 1 RFA was designed taking into consideration the needs identified in the Institutional Analysis conducted at the inception of the project. For Phase 1, five CSOs were selected² to implement projects specifically in the following sectors: Justice, access to public information, ethics and accountability in public administration, health, and tax reforms. The RFA for Phase 2 was designed taking into consideration the socio-political context, windows of opportunity, needs on the ground that align with the Project's overall goal and the objectives, such as Open Government Partnership, Budget Transparency and Social Auditing, Anti-Corruption Legal Framework, Public Services, and Investigative Journalism.

During the reporting period the Project received USAID's final approval of the Rapid Response Fund (RRF) and Subaward Manuals. The Project expects to award subgrants under Phase 1 in the first quarter of Y2, with Phase 2 subgrants awarded in Q2 of Y2.

Additionally, in Y1, the Project organized ten training courses (two more than originally scheduled), five of which took place this quarter, aimed at CSOs from a cross-section of sectors and thematic areas of expertise, including health, education, and marginalized populations,³ among others, to strengthen their ability to play a more effective role in advancing accountability, transparency, and citizen participation. In total, the Project trained 229 individuals⁴ (female: 125, male: 104) from 82 CSOs (8 NGOs, 3 Private Sector Organizations, 60 Foundations and Associations, 3 Think Tanks, and 8 Media Outlets) and 5 GOG agencies. See **Appendix I** which summarizes all training-related information entered into TraiNet.

By exposing CSO representatives to basic watchdog tools, the Project began to build up CSOs' technical capacities to address their anti-corruption work more effectively. The training program included introductory courses in key technical subjects, including Access to Information, Government Procurement, Social Auditing, and Open Government. These were supplemented by training sessions in other areas to further the impact of their advocacy/anti-corruption work and support their organizational development

¹ Commitment #4 – Establish a multi-sector roundtable to discuss, develop, and present a bill to strengthen the right to access to public information and institutional archives, as well as regulating institutions; and Commitment #12 – Create and institutionalize citizen opinion mechanisms for legislative proposals.

² Phase 1 involved a limited release RFA to Leader CSOs identified during the CSO Mapping exercise conducted at the beginning of the year. These selected CSOs are still in the review process with USAID for approval as Project subrecipients.

³ The Project will identify the marginalized populations that we and our CSO partners will prioritize in order to maximize inclusion in all our efforts via the combined effort of the baseline study and the Gender Equality and Social Inclusion (GESI) Analysis to be conducted by Palladium during the first quarter of Y2 as part of the Project's GESI Strategy. Factors that can affect an individual and/or community putting them in vulnerable or marginalized positions are (but not limited to): one's sex; age; ethnicity; geographic location (rural/urban); sexual orientation/gender identity; and disability. **Throughout this report we use the term 'marginalized populations' to represent these target populations that will be identified.**

⁴ Four of these participants represented the LGBTI Community and identified themselves as "Other". For reporting processes, the Project used a subjective labeling based on the names and biological appearance of participants.

(OD), including: Communications and Media, Facilitation Techniques, Gender Equality and Social Inclusion (GESI), and Proposal Development.

Furthermore, during this quarter the Project successfully completed 10 Participatory Organizational Development Assessment (PODA) and 9 Capacity-Building Action Plan (CBAP) sessions with Leader CSOs identified via the Project's CSO Mapping conducted at the beginning of the year. Based on the results of each CSO's PODA, the Project implemented and facilitated working sessions to assist these CSOs in developing their CBAPs. These CBAPs are crucial tools to further guide each CSO's continued organizational development and will define the OD component of future subgrants,⁵ and support the implementation of Institutional Strengthening (IS) activities in Y2. Through this two-pronged approach to CSO development (technical capacity building and traditional OD), the Project expects to see increased effectiveness of participating CSOs' activities and, where applicable, increased OD assessment scores.

As part of its OD Strategy, the Project also provided CSOs with mentoring and technical support this quarter to integrate GESI principles into their organizational structures and programmatic priorities. Key activities included the development and delivery of a specific GESI training for CSOs as well as the integration of GESI approaches into the content of other trainings carried out by the Project. Additionally, the Project revised and updated its GESI strategy and its OD tools to ensure equitable and sustainable GESI results. The GESI strategy was submitted to USAID on August 22 and is currently pending approval.

POLITICAL CONTEXT

Ongoing Corruption Scandals

The first half of 2016 was marked by a new set of high profile corruption scandals. The Public Prosecutor (MP or *Ministerio Público* in Spanish) and the International Commission against Impunity in Guatemala (CICIG or *Comisión Internacional contra la Impunidad en Guatemala* in Spanish) unveiled a significant money laundering scheme on June 2, 2016, in a case known as the "*Cooptación del Estado*" (State Capture), which constitutes the single largest criminal investigation of corruption in Guatemala. In the ruling of this case, judge Miguel Angel Galvez sentenced 28 individuals to prison, including six former GOG officials from the Perez Molina administration who are now facing legal actions.⁶ During Q4 in late September, the National Council of Property in Forfeiture (SENABED or *Secretaría Nacional de Administración de Bienes en Extinción de Dominio* in Spanish) confiscated several properties related to this and other corruption cases, for the equivalent of about GTQ 387.5 million.⁷

In addition, the Special Prosecutor Against Impunity (FECI or *Fiscalía Especial Contra la Impunidad* in Spanish) started an investigation to identify corruption and ghost workers (*Plazas Fantasma* in Spanish) in Congress.⁸ As a result, six members of Congress were stripped of their immunity from prosecution for their implication in hiring ghost workers, including former Congress President, Luis Rabbé, who now seeks political asylum in Nicaragua⁹ to avoid facing a criminal process. Also, the former head of the General Property Registry, Anabella de León, was sent to prison along with 17 other individuals for their implication

⁵ While the Project worked with 10 CSOs in Y1 to conduct these OD activities, there is no direct link between this work and award of future subgrants. Currently, 5 of the 10 CSOs were pre-selected during the Phase 1 subgrant process.

⁶ Judge imprisons 26 individuals involved in the case "The State Capture". (*Juez déjà en prison a 26 del caso Cooptación del Estado*). Prensa Libre. August 04, 2016. Source: <http://www.prensalibre.com/guatemala/justicia/juez-decide-cuantos-van-a-prision-por-cooptacion-del-estado>

⁷ The Senabed has received about GTQ 387.4 million. (*Senabed ha recibido unos GTQ 387.4 millones*). Prensa Libre. August, 17, 2016. Source: <http://www.prensalibre.com/guatemala/justicia/senabed-ha-recibido-unos-q3874-millones>

⁸ The FECI investigates employment relationship of 179 workers. (FECI investiga relación laboral de 179 trabajadores). El Periódico. July 14, 2016. Source: <http://elperiodico.com.gt/2016/07/14/pais/feci-investiga-relacion-laboral-de-179-trabajadores/>

⁹ The Congress prevents to discuss the separation of Luis Rabbé. (Congreso evita discutir separación de Luis Rabbé). El Periódico. September 21, 2016. Source: <http://elperiodico.com.gt/2016/09/21/pais/congreso-evita-discutir-separacion-de-luis-rabbe/>

in a corruption case¹⁰ known as “*Botín Registro de la Propiedad*.” In this case, ghost workers were hired to embezzle from the State about GTQ 3 million.¹¹

In August, yet another corruption scandal came to light. Local media reported on the controversial charge of TV frequencies monopoly in Guatemala by Mexican business tycoon Ángel González. These findings by the Public Ministry and CICIG allegedly incriminate Gonzalez's wife, Alva Elvira Lorenzana Cardona, as the legal representative of Radio Televisión Guatemala, S.A, and Televisiete, S.A, (channels 3 and 7). Allegedly, both TV channels contributed GTQ 17.8 million to the Patriota Party electoral campaign in 2011; in exchange, they received State contracts in the amount of GTQ 242 million.¹² In September, the largest international police organization, INTERPOL, issued an arrest warrant for Ms. Lorenzana Cardona.¹³ Finally, the MP found that the company “*El Bodegón*,” sold basic grains not suitable for human and animal consumption to the Ministry of Agriculture¹⁴ that sought to combat extreme poverty and malnourishment in Guatemala (*Plan Hambre Cero*). The MP alleges that this company obtained contracts for about GTQ 741.3 million in 2014.¹⁵ These cases have contributed to shaping Guatemala’s perception of the true and final impact of corruption in the lives of citizens.

Despite another round of public demonstrations on June 11¹⁶ in Guatemala City, Quetzaltenango, and other urban areas in support of the MP’s and CICIG’s work, a maximum security alert was issued towards the end of September to protect the life of Attorney General Thelma Aldana.¹⁷ In early October, a leading Guatemalan newspaper reported on possible threats against her life.¹⁸ Reportedly, other threats against Judge Gálvez and *el Periódico*’s media owner, José Rubén Zamora, are under investigation. It is unknown at this time whether the author of these threats is the same person.¹⁹ Attorney General Aldana, CICIG’s Commissioner, Iván Velásquez, and judge Miguel Ángel Gálvez, are recognized nationally²⁰ and

¹⁰ Anabella de León and another 17 individuals face legal process. (*Ligan a proceso Anabella de León y 17 personas más*). La Hora. September 6, 2016. Source : <http://lahora.gt/ligan-proceso-anabella-leon-17-personas-mas/> / Former Property Register faces the justice. (*Exregistradora de la propiedad enfrentará a la justicia*). Prensa Libre. September 6, 2016. Source:

<http://www.prensalibre.com/guatemala/justicia/exregistradora-de-la-propiedad-enfrentara-a-la-justicia>

¹¹ Anabella de León hired family members. (*Anabela de León contrató a familia*). Prensa Libre. September 08, 2016. Source : <http://www.prensalibre.com/guatemala/justicia/anabella-de-leon-contrato-a-familia>

¹² Superintendency of Communications without providing supportive documents related to the open T.V. concession. (*SIT sin entregar documentos de soporte sobre concesión a tv abierta*). El Periódico. October 08, 2016. Source : <http://elperiodico.com.gt/2016/08/10/pais/sit-sin-entregar-documentos-de-soporte-sobre-concesion-a-tv-abierta/>

¹³ Interpol looks after Alba Elvira Lorenzana. (Interpol inicia búsqueda de Alba Elvira Lorenzana). El Periódico. September 09, 2016. Source: <http://elperiodico.com.gt/2016/09/09/pais/interpol-inicia-busqueda-de-alba-elvira-lorenzana-2/>

¹⁴ The Ministry of Agriculture paid GTQ 248 million for corn not suitable for animal consumption. (*El MAGA pagó GTQ 248 millones por maíz no apto ni para consumo animal*). El Periódico. September 28, 2016. Source : <http://elperiodico.com.gt/2016/09/28/pais/mp-el-maga-pago-q248-millones-por-maiz-no-apto-ni-para-consumo-animal/>

¹⁵ El Bodegón obtained GTQ 741.3 million due to State of Calamity. (*El Bodegón obtuvo GTQ 741.3 millones por Estado de Calamidad*). El Periódico. September 29, 2016. Source: <http://elperiodico.com.gt/2016/09/29/pais/el-bodegon-obtuvo-q741-3-millones-por-estado-de-calamidad/>

¹⁶ Demonstrations return to the Constitution Place. (*Manifestaciones regresan a la Plaza de la Constitución*). Emisoras Unidas. June 2016. Source: <https://emisorasunidas.com/noticias/nacionales/manifestaciones-regresan-a-la-plaza-de-la-constitucion>.

¹⁷ Ministry of Interior identifies threats against Thelma Aldana. (*Gobernación identifica amenazas contra Thelma Aldana*). Prensa Libre. July 11, 2016. Source: <http://www.prensalibre.com/guatemala/justicia/gobernacion-identifica-amenazas-contra-thelma-aldana>

¹⁸ Maximum alert in the Public Prosecutor by Threats to the General Prosecutor. (*Alerta máxima en el MP por amenazas a la Fiscal*). La Hora. September 28, 2016. Source: <http://lahora.gt/alerta-maxima-mp-amenazas-la-fiscal/>

¹⁹ Aldana: Threats were also against journalist José Rubén Zamora and the Judge Miguel Ángel Gálvez. (*Aldana: periodista José Rubén Zamora y el juez Miguel Ángel Gálvez también fueron blanco de amenazas*). El Periódico. October 05, 2016. Source: <http://elperiodico.com.gt/2016/10/05/pais/aldana-periodista-jose-ruben-zamora-y-el-juez-miguel-angel-galvez-tambien-fueron-blanco-de-amenazas/>

²⁰ The School of Professionals awarded the General Prosecutor and Judge Gálvez. (*El Colegio de Profesionales galardona a Fiscal General y al Juez Gálvez*). El Periódico. September 01, 2016. Source: <http://elperiodico.com.gt/2016/09/01/pais/el-colegio-de-profesionales-galardona-a-fiscal-general-y-juez-galvez/>

internationally²¹ as leading figures in the fight against corruption. The Project's work in forging coalitions of CSOs is partly intended to maintain a critical mass in support of far-reaching anti-corruption reforms, including the anti-corruption work conducted by others, such as CICIG and the MP. Their investigations, which are strongly supported by public opinion in Guatemala, may lead to the identification of other areas of Project involvement to address sectors prone to corruption.

Lack of a Government Structure to Formulate and Oversee Implementation of Anti-Corruption Policies

One of the main problems facing President Jimmy Morales' administration is the lack of a government unit responsible for overseeing the design and implementation of its anti-corruption policies.²² Originally the former Presidential Transparency Commission (COPRET or *Comisión Presidencial de Transparencia* in Spanish) was in charge of the OGP initiative in Guatemala,²³ but this entity was shut down after the citizen protest of 2015²⁴ due to a loss of credibility with the public, which saw it as turning a blind eye towards corruption at the highest levels of government. No other GOG agency took over this responsibility after its demise. This undermines the efforts to establish a reliable anti-corruption agenda in Guatemala. The Project addressed this issue directly by supporting the development process of the 2016–2018 Open Government Action Plan, by creating space for facilitated dialogue between CSOs and the public sector.

Weaknesses of the Executive Branch

Currently, the administration of President Morales is going through its most severe political crisis. His son, Jose Manuel Morales, and his brother, Samuel Everaldo Morales, are under investigation by CICIG and the MP for a corruption case related to forged invoices.²⁵ Similarly, Vice President Jafeth Cabrera's son is accused of having links with Francisco Marlon Monroy, a drug trafficker.²⁶ In effect, new accusations surfaced against the FCN party for allegedly receiving funds from Monroy, who is considered by the Guatemalan authorities as the country's most influential drug trafficker. Monroy, alias "The Phantom," was arrested in April during an operation led by the US Drug Enforcement Agency (DEA).

Additionally, on September 21, Morales suspended the state of emergency²⁷ which had been declared two days earlier as a preventative measure against heavy rains around the country. This measure, however, was deemed controversial because it included a presidential decree which imposed restrictions to fundamental freedoms, such as the right to strike and freedom of speech. The directive was perceived as an excuse to

²¹ The Council of Public Prosecutors of Central American and the Caribbean supports Thelma Aldana. (*Consejo Centroamericano y del Caribe de Ministerios Públicos respalda a Thelma Aldana*). El Periódico. September 06, 2016. Source: <http://elperiodico.com.gt/2016/09/06/pais/consejo-centroamericano-y-del-caribe-de-ministerios-publicos-respalda-a-thelma-aldana/>

²² Continuation of the COPRET under analysis. (Evalúan continuación de la COPRET). El Periódico. October 07, 2016. Source: <http://elperiodico.com.gt/2015/09/25/pais/evaluan-continuacion-de-la-copret/>

²³ Transparency, the big absentee in the Government of Jimmy Morales. (*Transparencia, la gran ausente en el gobierno de Jimmy Morales*). Crónica. August 08, 2016. Source: <http://cronica.gt/nacionales/transparencia-la-gran-ausente-en-gobierno-de-morales/>

²⁴ The "transparency" office of Baldetti never worked and will be closed. (*Nunca funcionó, pero la oficina de "transparencia" de Baldetti cerrará*). Soy 502. January 29, 2016. Source: <http://www.soy502.com/articulo/cerrara-definitiva-oficina-transparencia-baldetti>

²⁵ Invoice compromises Jimmy Morales's son and brother. (*Factura compromete a hijo y hermano de Jimmy Morales*). Prensa Libre. September 14, 2016. Source: <http://www.prensalibre.com/guatemala/politica/familia-de-jimmy-morales-declara-por-caso-de-corrupcion>

²⁶ Despite threats, the General Prosecutor of Guatemala, Thelma Aldana, says that her anti-corruption work has not ended. (*Pese a las amenazas, la fiscal general de Guatemala, Thelma Aldana, afirma que su trabajo anticorrupción 'no ha terminado'*). New York Times. September 30, 2016. Source: <http://www.nytimes.com/es/2016/09/30/la-fiscal-general-de-guatemala-vive-bajo-amenaza-aun-asi-afirma-que-su-trabajo-anticorrupcion-no-ha-terminado/>

²⁷ Reverses Executive Branch decree before wave of rejection. (Ejecutivo da marcha atrás a decreto ante ola de rechazo). Prensa Libre, September 21, 2016. <http://www.prensalibre.com/guatemala/politica/jafeth-cabrera-defiende-restricciones-del-estado-de-prevencion>

silence the media, as the media would not be allowed to publish news that may incite civil unrest. For this reason, the Center for Environmental and Social Legal Action (CALAS) filed a legal recourse requesting that the president and vice-president be stripped of their judicial immunity and prosecuted for violations against civil rights, as guaranteed by the Constitution.²⁸ These accusations have caused damage to Morales, as they stand in stark contrast to the image he portrayed during his campaign, which touted him as the "anti-corruption candidate."²⁹

In spite of an initial 61% approval rating,³⁰ President Morales' first six months in office have been assessed unfavorably by political analysts and the media.³¹ Along with corruption scandals and alleged connections to Monroy's criminal structure, Morales' tenure has been characterized by the lack of a concrete or well-defined government agenda, the lack of resources to cover for basic education and health services, and the inability to gather leaders across sectors for a national dialogue.³² Some sectors, however, recognize the government's interest in supporting structural reforms to strengthen the Guatemalan political system,³³ as well as global transparency initiatives such as the Open Government Partnership. In addition to the Project's planned work under the OGP initiative, the Project will remain attentive to identify and take advantage of windows of opportunity in other areas where the Executive branch may show political will to tackle corruption (i.e., civil service reform) and that may not be currently covered by the 2016-2018 Open Government Action Plan. Subject to the nature of the intervention, these emerging opportunities may be funded through a Rapid Response Fund or the Project's subgrant program in consultation with USAID.

CSO Political Environment

CSOs need to take advantage of the socio-political context in the country to influence the political agenda. Under the new government, CSOs have managed to boost government transparency initiatives. For instance, organizations like ICEFI have been responsible for conducting background research on public expenditures, and presenting social investment recommendations.³⁴ Other CSOs, like *Congreso Transparente*, *Acción Ciudadana*, and *CENACIDE*, were selected by the GOG and CSO Network to lead the implementation of commitments under the OGP.

²⁸ CALAS requests a preliminary hearing against Jimmy Morales. (*CALAS presenta solicitud de antejuicio contra Jimmy Morales*). Soy 502. September 23, 2016. Source: <http://www.soy502.com/articulo/calas-presenta-solicitud-antejuicio-contra-jimmy-morales-31313>

²⁹ Guatemala, again: Jimmy Morales, from the transparency flag to a 'splash' in corruption. (*Guatemala, otra vez: Jimmy Morales, de la bandera de la transparencia, al chapoteo en la corrupción*). Infobae. October 08, 2016. Source: <http://www.infobae.com/america/america-latina/2016/10/08/guatemala-otra-vez-jimmy-morales-llego-con-la-bandera-de-la-transparencia-pero-ya/>

³⁰ Jimmy Morales, the third best ranked Latin American president. (*Jimmy Morales, tercer presidente Latinoamericano mejor evaluado*). Perspectiva. May 30, 2016. Source: <http://www.perspectiva.com.gt/noticias/jimmy-morales-tercer-presidente-latinoamericano-mejor-evaluado/>

³¹ Six months of Government: Jimmy Morales lacks of leadership. (*Seis meses de Gobierno: Falta liderazgo en Jimmy Morales*). Prensa Libre. July 14, 2016. Source: <http://www.prensalibre.com/guatemala/politica/evaluacion-de-jimmy-morales-despues-de-seis-meses>; <http://cronica.gt/nacionales/jimmy-morales-y-sus-seis-meses-de-sufrimiento/>

³² Three weaknesses of the Government of Jimmy Morales in his first half are identified. (*Señalan tres debilidades del gobierno de Jimmy Morales en su primer semestre*). El Periódico. July 14, 2016. Source: <http://elperiodico.com.gt/2016/07/14/pais/senalan-tres-debilidades-del-gobierno-de-jimmy-morales-en-su-primer-semestre/>

³³ Jimmy Morales meets with CICIG, the Human Rights Ombudsman office (PDH or *Procuraduría de los Derechos Humanos* in Spanish), and the MP to discuss the reforms to the justice sector. (*Jimmy Morales se reúne con CICIG, PDH y MP por reformas al sector justicia*). PubliNews. (no date). Source: <http://www.publinews.gt/nacionales/jimmy-morales-se-reune-con-cicig-pdh-y-mp-por-reformas-al-sector-justicia/TetpiB---O6jZbeqFFjneE/>; <http://elperiodico.com.gt/2016/06/06/pais/presidente-y-representantes-de-diferentes-sectores-analizan-nuevas-reformas-a-lepp/>

³⁴ Incidence of the tax policy in the inequality and poverty of Guatemala. (*Incidencia de la política fiscal en la desigualdad y la pobreza Guatemala*). Castañeda, Ricardo. ICEFI. 2016. Source: http://icefi.org/sites/default/files/incidencia_de_la_politica_fiscal_en_la_desigualdad_y_la_pobreza_-_guatemala_-_pdf

In regards to the Open Parliament (OP) initiative – which aims to foster a culture of transparency and accountability in the legislative branch – the Project collaborated with NDI to expand the breadth of CSOs involved in this initiative to those that had not previously been involved in open government initiatives, such as the OGP. For example, two new members fostered by the Project include the Rafael Landívar University, a progressive educational institution, as well as the *Movimiento Cívico Nacional*, a conservative CSO. While normally these two CSOs would not move within the same political circles, their inclusion in the Open Parliament initiative showcases a balance in terms of political positions within the prospective CSO Network for Open Parliament.

CSOs currently working in anti-corruption and transparency issues tend to be detached from grassroots organizations. This implies that their proposed initiatives are skewed towards presenting a middle-class, urban *ladino*³⁵ vision. Therefore, the Project will pursue the incorporation of marginalized populations' considerations into CSO proposals through RFAs that require GESI considerations in project applications, as well as subgrant design that promotes collaboration between CSOs and more grassroots organizations that work with marginalized populations.

SUMMARY OF ACTIVITIES

Cross-Cutting Activities

Gender Equality and Social Inclusion

In the last quarter of Y1, the Project started its GESI strengthening of prospective CSO partners specifically on integration of GESI considerations into their anti-corruption and transparency initiatives. In total, 32 individuals (female: 26, male: 6) from 19 CSOs (categorized as Leader CSOs and High Potential CSOs,³⁶ and one organization working in support of marginalized populations) participated in the introductory GESI training course held on September 26-27. This included representatives from Guatemala's indigenous population and people with disabilities (course instructors undertook measures to guarantee the active participation and inclusion of a participant with a visual impairment).

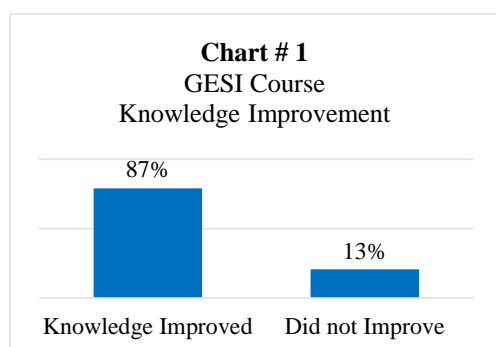


Chart # 1 shows that 87% of course participants increased their knowledge of the contents covered by the course. This increased by an average of 39% between their pre (51.0%) and post course evaluations (80.0%). The key concepts covered by this course focused on: GESI and the human rights based approach, differentiated human development, The Impact of GESI in development programs, Tools for GESI integration into the project cycle, and Promoting GESI/ the role of CSOs as agents of change.

Additionally, to ensure the Project holistically addresses GESI in its activities with CSOs, the Project also incorporated GESI into the design of two other CSO capacity building courses: 1) Communications and Media for CSOs – with a session on “Gender and words: Power for change,” and 2) Proposal Development

³⁵ We refer to the social subject that denies his Indian heritage. *Ladinos* define their ethnic and cultural identity as “not Indian,” instead of having a definition of its own with specific traditions, values and history. This identity classification has an impact on the country's economic and socio-political dynamics, reinforcing state structures with a colonial heritage.

³⁶ Per the Project's CSO Mapping conducted at the beginning of the year.

– with a session on “Promoting GESI – the role of CSOs as agents of change.” Both are further discussed under **section 2.1.d** and all training agendas can be found in **Appendix III**.

In order to ensure that females and males were equally represented across Project activities, equal numbers of females and males were provided with the opportunity to receive support from the Project. This equal opportunity was applied during the selection of participants to international events that occurred in Q4, such as the International Anti-Corruption Conference (IACC) and the Open Government Partnership Global Summit, both to be held in December 2016.

“Thank you very much for considering our organization. This training strengthens my professional and personal performance. You helped me expand my knowledge and made me reflect on new actions and solutions to support our projects”.

GESI training participant

Furthermore, to ensure equitable and sustainable GESI results during Project implementation, the Project revised its GESI strategy and the Project’s OD tools, and reinforced gender and social inclusion requirements in connection with Phase 2 subgrants.

Lastly, the Project also trained Project staff in order to strengthen their knowledge and skills of GESI considerations, which in turn will help ensure GESI is integrated into Project implementation. This process facilitated a space for knowledge sharing and analysis of both the Project’s and USAID’s GESI strategies.

Year 1 Summary

“Thank you very much for considering our organization. This training strengthens my professional and personal performance. You helped me expand my knowledge and made me reflect on new actions and solutions to support our projects.”

GESI training participant

While GESI specific activities ramped up primarily in Q4, GESI has also been included as a cross-cutting component of the Project’s OD Strategy. In Q3 the Project conducted PODAs of ten Leader CSOs (see **Result 2.1 Section for more** details), which included an assessment of how effectively they link GESI

principles to their systems and processes in six functional areas.³⁷ The results of this process contributed to each CSO’s CBAP, as well as the design of Project TA and training activities in Y2.

Public Outreach and Communications Tools

Program Website

The Project completed internal procurement procedures needed for designing the Project’s website, which will be up and running in December 2016, and will offer up-to-date information on Project activities, events, trainings, and competitive subgrant processes.

Branding Strategy and Marking Plan (BSMP)

The final version of the BSMP was approved in Q4. Under the coordination of the Project’s Reporting and Communications Specialist, the Project started implementing the Co-Brands, Marking Illustrations for the

³⁷ The Project’s six OD functional areas include: Leadership & Strategic Management, Program Management & Quality Control, Financial Management & Accounting, Financial Sustainability, Human & Material Resources, and External Relationships & Communications.

Project and US-Based Subrecipients, and Marking Illustrations for Local Subrecipients³⁸ and the OGP initiative.

Year 1 Summary

All activities related to public outreach and communications tools have been in development this year, either in terms of competitive procurement for the website or revisions to ensure the BSMP fully complied with USAID Branding and Marking guidelines that were updated in Q2.

Baseline Study

The Baseline Study was competitively awarded to Langer Research Associates this quarter. The planning stage, including the design and pre-testing of tools began in early September and the actual field work will begin in October. This Baseline Study will provide the basis of the capacity, current purview, and various stakeholder's perception of civil society in Guatemala as it relates to the Project's efforts in both of its objectives. A mixed methodology was designed, including qualitative and quantitative techniques (a citizen perception survey, Focus Group Discussions, and/or Key Informant Interviews). In order to have a comprehensive overview of the role of civil society, the Baseline Study began with a literature review to have a deeper understanding of the existing conditions for CSOs to address the problems of corruption and the potential solutions, as well as help to identify potential programmatic priorities for the Project in the near- and longer-term future.

Year 1 Summary

No other activities related to the Baseline Study occurred prior to Q4.

³⁸ For the purposes of this Report, from here on out the term subrecipient refers to non-U.S. based (local) subrecipients, unless indicated otherwise.

Project Objective One: Support Targeted CSOs' Efforts to Promote Accountable Governance and Combat Corruption

Result 1.1 – Increased number of CSOs that can effectively conduct advocacy for reform processes and the monitoring and auditing of state performance and compliance

1.1.a CSO Prospective Subgrantee Mapping/Local Contact Database

In Q4, 26 new CSOs expressed their interest in participating in Project activities (i.e., training, RFA's, and technical assistance). After verifying the compatibility of their objectives and activities with that of the Project's, they were added into the Project's CSO Local Contact Database. A list of the CSOs included in Q4 can be found in **Appendix II**.

Year 1 Summary

In January 2016, the Project completed a CSO mapping (covering Non-Governmental Organizations – NGOs, private sector foundations, think tanks, universities, media outlets, and others) as a preliminary step to filter potential partners in the target areas of Guatemala City, Villa Nueva, Mixco, and Amatitlán. This exercise allowed the Project to determine different types of engagement and interventions, and led to the development of the Project's CSO Local Contact Database, which serves as a directory of organizations to be considered for Project activities, such as training, subgrants, TA, and/or OD support.

In a continuous effort to identify and diversify its pool of prospective partners, the Projects updates its CSO Local Contact Database on a continual basis. By the end of Y1, the CSO Local Contact Database includes 102 NGOs, 39 media outlets, and 10 academic institutions.

1.1. b Selection of CSO Partners and Subgrantees

Request of Applications for Leader CSOs Ref. GT/OSC-LI-16-01 (Phase #1 Subgrants)

In Q4 the Project continued the selection process and package submittal to USAID of the five CSOs for the Phase 1 subgrants. From July 19 to July 21, the Grants Management Unit (GMU) conducted pre-award surveys of all five organizations to assess their financial and management capabilities in the following areas: Organizational structure and legal status, internal controls and allocation of duties, written policies and procedures, financial and accounting systems, budgeting, annual audits, and general knowledge and experience of USAID policies and procedures. This assessment assisted in supporting the determination of the appropriate subgrant mechanism: Cost reimbursable, in-kind or a fixed amount award.

The GMU issued a report for each assessed organization with comments, findings, and recommendations which were incorporated into the Selection Memo of each subgrant. These memos contain a brief description of the projects proposed by each organization, their linkages with Project objectives, their costs, and the relevance of funding each initiative. On September 1, the Project submitted all Selection Memos to USAID/Guatemala along with the technical and financial proposal packages from the five organizations for technical concurrence. On September 28, USAID sent their comments on each selected application. The Project is currently working with applicants to address all observations and will submit all revised applications back to USAID by in October for final approval.

Full and Open Competition Request of Applications Ref. GT/OSC-HP-16-02 (Phase 2 Subgrants)

On September 12, the Project issued its second RFA as a full and open competition. The RFA was published in a nationwide newspaper, through USAID/Guatemala's Facebook page, and also distributed via email to the Project's CSO Local Contact Database. This phase seeks to provide financial assistance and TA to support CSO-driven activities in five critical areas identified by the Project based on the analysis of the socio-political context and consultations with local CSOs and other stakeholders. These include: 1) Open government; 2) Budget transparency and social auditing; 3) Anti-corruption legal framework; 4) Improved delivery of public services at the local and national levels; and 5) Investigative journalism. As of September 30, eighty CSOs had requested copies of the solicitation.

On September 23, the Project also conducted an orientation session with the CSOs interested in applying for a subgrant under this RFA. In total, 64 individuals participated in this session, representing 38 CSOs from a wide cross-section of sectors and thematic areas of expertise. The Project issued Modification No. 1 to the RFA providing responses to all questions received in writing and during the orientation session. The deadline to receive applications under this RFA was set for October 17, 2016. The Project estimates awarding 8 to 15 subgrants under this second phase by the end of the first quarter of Y2, with an approximate implementation timeline of 12 months.

Year 1 Summary

In Y1 the Project released two RFAs. In addition to the Phase 2 RFA released in Q4, the Phase 1 RFA, issued on May 2, targeted ten CSOs classified as "Leader CSOs." This limited-release RFA pursued a two-fold purpose that directly correlates to the Project's two main objectives: Objective 1, focused on supporting the implementation of technical activities related to transparency and accountability, with up to \$90,000 available per subgrant, and Objective 2, directed at strengthening the organizational capacities of CSOs with a funding level of up to \$60,000 per subgrant.³⁹ Subgrants will have an estimated implementation time of up to 12 months per objective. In addition, the Project conducted an Orientation Session on May 9 for the ten CSOs to jointly review the technical scope of the RFA, all application formats, and timeline requirements. Subsequently, the Project issued two modifications to the RFA, one to extend the due date to submit questions on the RFA through May 11, and an additional one to provide answers to the questions received within the established deadline. In total, the Project received seven applications.

To evaluate applications, the GMU set up a Selection Committee (SC) comprised of five evaluators (four internal and one external) and two non-voting observers (the Project COP and USAID's Agreement Officer's Representative). The SC members were selected based on the approach and thematic areas of the RFA to ensure that they could bring the necessary knowledge and expertise in the RFA technical areas. The SC held its first meeting on June 15 to discuss strengths and weaknesses of the seven applications, which led to the disqualification of two applications. Technical and budget questions and requests for clarifications were sent by the GMU on June 24 to the five selected organizations: *Fundación Myrna Mack, Familiares y Amigos contra la Delincuencia y el Secuestro (FADS)*, *Fundación para el Desarrollo de Guatemala (FUNDESA)*, *Acción Ciudadana*, and *Asociación de Investigación y Estudios Sociales (ASÍES)*. The SC met again to present and justify their scores of each application, and determined that the applications of the above organizations were suitable for funding.

Activities supporting CSOs' involvement, through the CSO Network for Open Government, in Guatemala's third Open Government Action Plan, and Open Parliament are detailed in **section 2.2.a Support for Coordination and Collaboration among CSOs**.

³⁹ Once activities start for subgrants, those related to Objective 2 will be reported under Result 2.1.

1.1.c Rapid Response Fund

In mid-August, upon completion of the 2016-2018 Open Government Action Plan, the Project was asked by the GOG and the CSO Network for Open Government to produce a certified English translation of said document for submission to OGP headquarters in Washington, DC, a mandatory task under the OGP initiative. On account of the GOG's financial constraints, a tight deadline, and to ensure the submission of a high quality product, the Project agreed to fund this request through the RRF. See section 2.2.a Support for Coordination and Collaboration among CSOs for more details regarding the Project's work with CSOs and the GOG in this topic. Additionally, the English-language version of the 2016-2018 Action Plan can be found in **Appendix X**, which was submitted to the GOG in September.⁴⁰

On September 22, the Project also received a draft concept note from the CSO FADS requesting funding to form a group of social auditors responsible for scrutinizing and raising awareness on the imminent public bidding process for the Advanced Wireless Services for mobile voice and data communication services in Guatemala. In light of the questionable licensing practices for mobile operators by the GOG in the past, FADS seeks to conduct a quick, first stage intervention to train CSO representatives and GOG officials on basic technical aspects to allow for close monitoring of the overall transparency and impartiality of the procurement process. The Project reviewed and provided initial comments on FADS' draft concept paper and is expecting a revised version on or about late October 2016. Subject to receiving a revised, clear and justifiable proposal, the Project anticipates funding this initiative through its RRF mechanism.

Year 1 Summary

While RRF activities took off in Q4, during the first half of the year the Project worked closely with USAID to prepare and finalize its Rapid Response Fund (RRF) Manual, which was approved in early July.

Project Objective Two: Strengthen Institutional and Technical Capacity of Targeted CSOs

Result 2.1 - Increased Numbers of CSOs Engaged in Transparency and Good Governance Issues with Increased Organizational Capacity

In order to increase the Organizational Capacity of CSOs engaged in transparency and good governance initiatives during Y1 the Project successfully implemented the first two stages of the OD cycle with the ten Leader CSOs:⁴¹ 1) PODA and 2) CBAP. A detailed outline of all Project OD activities conducted per OD Stage is found in **Appendixes IV and V**. In total, ten PODA sessions (in Q3) and nine⁴² CBAP sessions were successfully performed (one in Q3 and eight in Q4). The assessment reports resulting from the PODA sessions provided the basis for the facilitation of each CSO's CBAPs. These CBAPs are a resource for CSOs to further guide their continued organizational development and will help the Project define the OD component of future subgrants, when applicable.

"The [PODA session] was an excellent workshop. We were expecting a more theoretical activity, but instead, we were glad to have had the opportunity to assess the organization and its team from a different point of view. The methodology allowed us to get closer to the reality of the organization. It was very motivating, and a challenge to look within [...] in a very respectful and friendly environment that helped us reach useful conclusions."
FADS

Counterpart's Institutional Strengthening (IS) methodology is based on an all-inclusive participatory process that stimulates open discussions, encourages participatory learning,

⁴⁰ The GOG was then responsible for submitting the Action Plan to the central OGP body based in Washington, DC.

⁴¹ Details on how collaboration started with these organizations are given in section 2.1.a, 2.1.b, 2.1.c and 2.1.d.

⁴² One of the organizations was not able to program the CBAP session before the end of Y1 and did not respond to multiple correspondence requesting to schedule this activity.

and motivates organizational empowerment. The method is innovative, relevant, and tailored to priority needs. The Project encouraged each organization's staff to take ownership of the process by allowing them to objectively identify weaknesses and propose corrective actions to progressively achieve an optimal level of organizational performance. The ten Leader CSOs expressed high levels of satisfaction with the assessment and planning process and stated that they consider the Project's OD Program as a valuable opportunity to their internal strengthening.

2.1.a Kick Off and Adaptation of the Organizational Development Tools

Throughout Q4 the Project worked to tailor Counterpart's OD Reference Guide to the local context. The English version was finalized in Q4, with the Spanish translation version becoming available in Q1 of Y2. As discussed in the GESI Cross-Cutting section, the Project also ensured that GESI considerations were fully incorporated into the OD tools, which occurred in Q4 as the Project's Gender Specialist was brought on board full-time by Palladium.

Year 1 Summary

From March 27 to April 9, 2016, OD Specialists from Counterpart's headquarters worked with the team in Guatemala to conduct the following activities:

1. Facilitate adaptation of Counterpart's OD framework and tools to the local context;
2. Train staff in OD methodologies and oversee the launch of PODAs with prospective subrecipients;
3. Conduct two initial PODAs out of an anticipated ten for this year; and
4. Train staff in facilitating action-planning sessions in support of IS interventions.

By putting into practice the adapted tools during the first PODAs, the team, headed by the Project's Capacity Building Specialist, was able to perform additional reviews and finalize the tools. Afterwards, in order to better assist the organizations in the building of their CBAPs, the team, with the collaboration of the GMU, created additional tools and formats for planning and budgeting OD-related activities. All these activities resulted in the Project developing a customized OD toolkit and specific OD formats for use throughout the life of the Project. This tailored OD toolkit responds to the Project's and its partners' needs and can be adjusted and enhanced as necessary.

By the end of Q2, the Project completed the initial CSO Mapping, and was able to identify ten Leader CSOs. This was the first step in selecting the possible partners and subrecipients for Y1, and allowed the team to identify areas for coordination and potential key stakeholders. The Project performed one-on-one meetings with the Leader CSOs to introduce them to the Project's objectives and activities and invited them to an OD orientation session. This allowed the Project to provide more details about the Project, Counterpart's OD Methodology, and how the OD process fits into the Project's Subaward Program. This was also a great opportunity to invite the CSOs to participate in the PODA and CBAP sessions.

The decision to start the OD process while waiting for approval of the Subaward Manual was a strategic move to further advance working with these CSOs. Regardless of whether or not the organizations are selected as a subrecipient for any subgrants, both the PODA report and CBAP are resources for any CSO to strengthen their organizations. After the OD orientation session, all ten organizations voluntarily enrolled themselves in the PODA process which commenced in early April.

2.1.b Conduct Participatory Organizational Development (PODAs)

While all PODA sessions were conducted with the ten Leader CSOs in Q3, the Project was able to finalize the 10 assessment reports in Q4. The finalization of these reports involves a participatory process where CSOs are presented with a draft assessment report, they are given time to review and comment on the report, and then the report is finalized once all parties are in agreement with both the qualitative assessment (notes,

comments, and recommendations for improvement) and quantitative scores outlined in the report. As detailed in **Appendix VI**, the average score for Leader CSOs in Understanding was 2.82 and in Completed was 2.45.⁴³ Furthermore, based on the PODA results, the team identified specific topics with the lowest scores that will inform the Project's future targeted TA with CSOs, which is **further discussed in 2.1.d**.

Year 1 Summary

The first stage within the OD cycle is the PODA. This dynamic process motivates CSOs' staff to identify the needs and weaknesses within their organizations to inspire changes aimed at improving their organizational capabilities, achieving specific IS goals, and generating an impact in their areas of scope over time. The ten PODA sessions from the ten Leader CSOs were performed in Q3.

To ensure the process' success, the Project first met with the organizations' directors to discuss the CSOs' requirements, responsibilities, commitments, phases, and outcomes. By meeting with the organizations' executive directors, the Project was able to encourage them to participate in the OD Program and highlight the benefit of an assessment as a learning tool to further strengthen their organizations. After this initial meeting, an OD orientation meeting with each of the CSOs' staff was scheduled to explain the Project's activities, the OD methodology, and each one of its stages. These meetings provided the CSOs' directors with an opportunity to introduce the purpose of the assessment process to the staff, and to motivate them to actively and openly participate throughout each stage of the OD process.

During the PODA sessions, the organizations' staff and leaders expressed their great satisfaction and gratitude with the Project for facilitating the OD-related processes which was a very helpful learning experience. For some CSOs, this was the first time that all staff were engaged in an open, honest, and objective assessment of the organization and its internal functioning. In addition, many expressed that the methodology surpassed their expectations. Because these CSOs were familiar with traditional audit evaluations, the Project's OD participatory assessment process was a completely different experience.

"The [PODA session] allowed the exchange of perceptions and was an ideal opportunity for the organization to reflect [on its current situation]. The methodology allows to orient and focus discussion on the major topics for better understanding and prioritizing"
ASIES

2.1.c Development of Capacity Building Action Plans

Upon completing the PODA process, the team began the Action Planning stage with Leader CSOs by facilitating a participatory CBAP session to support CSOs in determining how to best improve their organizational performance. CBAPs outline the organization's capacity development goals, actions to be performed to accomplish these goals, how success will be measured, who will be responsible, what resources are required, and the timeframe for its implementation. The team first facilitated a participatory planning session in which the organization's staff were able to define their main OD objectives and prioritize strategies and activities to be implemented over 12 months. Upon completing the workshop, the OD Team delivered a report, tools/formats, and instructions to each organization. With these resources, each organization drafted their CBAP Matrix, and submitted it to the Project for final review.

Out of the ten Leader CSOs, five are most likely to become subrecipient under the first RFA. The Project focused on working with these five organizations to create a complete CBAP that includes the CBAP Matrix, its narrative, a detailed budget, and budget's notes. The final CBAP and corresponding annexes

⁴³ Counterpart scores institutional capacity based on two key metrics - Completed and Understanding. Completed refers to the presence of a system to address that management issue - preferably in writing. Understanding refers to practice of a system within the organization. Ideally the practice matches the documented system, but often organizations have a clear approach to doing things, but have never written anything down. Other times organizations have a well-written handbook or manual that no one has seen or clearly is not being followed during day-to-day operations. The process seeks to use the two scores to represent something closer to reality.

will become the basis to defining in more detail the OD subgrant component. For the rest of the organizations, only the CBAP Matrix will be completed.⁴⁴ These organizations can use their CBAP to implement their planned activities by themselves or to allocate funds with other donors. In the event that one of these organizations is selected through another Subgrant Phase (2 or 3, planned in Y2), the CBAP will be updated and completed to support the OD subgrant component.

By the end of Q4, each of the ten Leader CSOs was in a different stage in the design of their CBAP. See **Appendixes IV and V** for more details.

The CBAP sessions provided the CSOs with an opportunity to identify and prioritize the actions to be implemented for their IS, but most importantly, to recognize the opportunities for their internal growth. It has been emphasized by the Project's staff that, even though the organizations are currently strong and efficient, there is always room for growth and the achievement of optimal levels of development. It is also worth mentioning that some of the organizations recognized the PODA process as an effective tool to jump start the implementation of internal organizational changes and procedures.

"[What we most appreciated from the OD process] was the opportunity to assess the organization we work for. It was a very valuable tool for the organization's development that every organization should benefit with. The facilitators were patient and allowed for a very participatory and objective environment"
MCN

Year 1 Summary

Although the Project started one CBAP in Q3, all other activities under this task occurred as described above for Q4.

2.1.d Training and Customized Technical Assistance

Citizen Participation and Social Audit

Between August 12 and September 14, the Project implemented a 48-hour training course on "Citizen Participation and Social Audit" for a total of 34 CSO representatives from 24 different organizations (female: 21, male: 13). The course consisted of six training sessions of eight hours each and pursued the following learning objectives (See **Appendix III** for details on the course's agenda):

"The course allowed the acquisition of new knowledge in the field of social control. At the same time, this knowledge was oriented to the work that CALAS does. This presents an immediate strengthening of the work the organization does with communities"

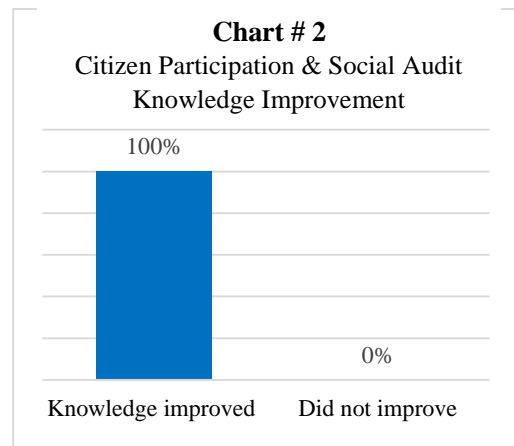
Course participant, representing the Center for Environmental and Social Legal Action – CALAS

1. Understanding the principles and legal foundations of social audits in Guatemala;
2. Acquiring the theoretical and technical skills to conduct social audits;
3. Recognizing and discussing the importance of social audits to promote citizen participation;
4. Enhancing the analytical capacities of participants to demand government accountability and transparency;
5. Providing a space to identify common interests and promoting partnerships among CSOs; and
6. Identifying proposals to improve citizen participation tools.

⁴⁴ As stated in footnote #40, one of the ten organizations was not able to program the CBAP session before the end of Y1. At the time of this report, six of the nine organizations that did perform their CBAP session had submitted the CBAP Matrix. The Project is expecting to receive the other three CBAP Matrixes in Q1 Y2.

Chart # 2 shows that all participants increased their knowledge of the contents covered by the course. This increased by an average of 39% between their pre (50.3%) and post course evaluations (70.2%).

As part of the Project's training evaluation process for this course,⁴⁵ on September 20 the Project organized a focus group discussion with nine course participants (female: 4, male: 5) to discuss opportunities in advancing social auditing initiatives in country and to gather additional feedback on the course's scope and methodology. (See **Appendix XIII** for the focus group report).



Data Journalism Training Course

In September, the Project launched a Data Journalism practicum, which combines remote tutoring support with traditional in-class training throughout its three scheduled stages: 1) Initial Remote Tutoring Support; 2) On-Site Course; and 3) Final Tutoring Support and Publication of Investigations, to be completed in Q1 of Y2. The overall purpose of this training is to increase the intensity and quality of investigative work in Guatemala while simultaneously developing and publishing journalistic investigations based on data journalism methodologies. By strengthening institutional and technical capacities of local media outlets, the Project engages journalists and media outlets in civil society issues, and builds the relationships that lead to accurate, thoughtful, and frequent media coverage of civil society backed accountability initiatives.

Following an introductory session with media representatives, held on July 19, the Project invited 10 media outlets ranging from print, television, and digital media, and selected 17 participants (female: 4, male: 13) based on their proven investigative reporting experience from the following media outlets:

1. *Prensa Libre* (print media);
2. *Guatavisión* (television);
3. *El Periódico* (print media);
4. *Plaza Pública* (digital media); and
5. *Prensa Comunitaria* (digital media).

The Project also received applications from *Nómada* and *Soy502*, but it could not include them in the course in light of methodological restrictions (the instructor can only provide tutoring support to a maximum of five simultaneous journalistic investigations). These two outlets will be invited to attend a second iteration of this course in Y2.

The first stage began on September 19, 2016 via remote tutoring to support participating journalists to identify their investigative topics and conduct their initial research. As a first step, the Project initiated 30-minute weekly appointments to establish initial communication with the course's instructor, discuss and define participants' research projects, and identify data sources, as needed. As scheduled, this practicum will continue in Y2, with the completion of stages two and three.

Proposal Development Workshop

Upon concluding the initial set of PODAs and the evaluation of applications received for the Phase 1 subgrants, the Project identified the need to improve the proposal-writing skills of prospective partners. As

⁴⁵ A focus group was conducted for this training due to the methodology employed by IFES, which allows for improvement of the course for future years.

a response, the Project conducted a 16-hour “Proposal Development” workshop on September 1-2 to strengthen the capacities of CSOs to submit high quality proposals. This training provided organizations with the tools needed to develop and adjust proposals for a variety of funding sources, including but not limited to: Government, bilateral development agencies, multilateral development organizations, and foundations.

To widen the number of prospective applicants, the Project published two announcements via a nationwide newspaper (*Prensa Libre*). As a result, 320 CSO representatives requested information on the course and 150 submitted their applications to attend it. To determine selection, the Project used the following criteria: organizations working within in the geographic area of the Project, organizations categorized as Leader CSOs per the Project’s CSO Mapping, organizations working on the OGP initiative in Guatemala, and organizations working in support of marginalized groups. Based on this criteria, the Project selected 40 participants (female: 25, male: 15) from 34 CSOs representing a cross-section of sectors and thematic areas of expertise.

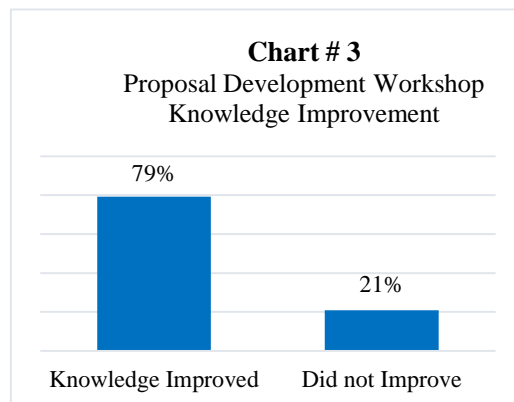


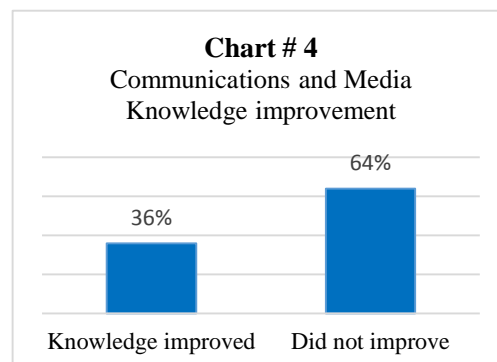
Chart # 3 shows that the participants’ knowledge increased by 79% of the contents covered by the course. The key concepts covered by this course focused on: the proposal development cycle, technical aspects of the proposal, incorporation of cross-cutting activities, key components of a proposal, proposal package, and delivery and follow-up with potential donors.

Communications and Media for CSOs

The Project also held a course on Communications and Media for CSOs on September 22-23 to strengthen CSOs’ capacities in communications and media, which will ultimately increase the effectiveness of their advocacy efforts. Taking into account the baseline data gathered from the CSOs’ PODAs and in-person conversations, the course was designed to introduce participants to basic concepts on the subject matter and showcase comparative experiences in the design and implementation of effective communication strategies. A total of 25 representatives (female: 15, male: 10) from 20 CSOs participated in this course, which featured renowned communications and media professionals as instructors.

Drawing on their own practical experiences and lessons learned, these instructors provided technical advice to CSO participants on how to strengthen and enhance the impact of communications and external relations. Instructors included representatives from CSOs (i.e., FUNDESA), civic movements (#JusticiaYa), media specialists (Laboratorio de Medios), international organizations (International Republican Institute), and others, who presented their analyses on what works successfully to utilize communications as an effective advocacy tool.

CSO representatives regarded the overall quality of this course as “excellent” or “good” in terms of its contents, speakers, participants, and logistics. The majority of participants also acknowledged acquiring new skills and ideas that they intend to apply and share in their respective organizations to improve the impact of their advocacy work. This is demonstrated in **Chart # 4**, which shows that 36% of participants increased their knowledge of the contents covered by the course. Participants’ knowledge increased by an average of 8% between their pre (72.9%) and post course evaluations (78.6%). This directly reflects the PODA scores seen with the Leader CSOs, where



they scored high in understanding of the External Relationships and Communications, but scored much lower when assessed on how well they put this knowledge into practice. This training was a first step in establishing a strong baseline knowledge in this topic, which will be built upon and tailored in Y2 for the Project's subgrantees.

Technical Assistance Design

The PODA's quantitative and qualitative results revealed common limitations and weaknesses among the ten Leader CSOs. The functional areas where the CSOs present the lowest scores (see **Appendix VI**) are: 1) Financial Sustainability, 2) Human and Material Resources, 3) Program and/or Project Management, and 4) External Relationships and Communications. To address these needs, the Project designed a TA program to be implemented in Y2. Although the Project anticipates providing TA in support of all six functional areas and the cross-cutting GESI theme, specialized TA will focus primarily on these four areas. This TA will complement the activities implemented by each CSO with their individual OD subgrant component.

Year 1 Summary

No other activities occurred under this task in Year 1 beyond those described above for Q4.

Result 2.2 – Enhanced Coordination and Collaboration among CSOs Engaged in Transparency and Good Governance, Particularly Spaces for Dialogue and Consensus around Key Issues and Strategies

2.2.a Support for Coordination and Collaboration among CSOs

CSO Coalition Building Methodology

In Q4 the Project put its Coalition Building methodology (see **Appendix XIV**) successfully into practice with its work on the Open Parliament Initiative, described in further detail below. As proof of the effectiveness of this methodology, nine CSOs are now actively working to advance this initiative.

Year 1 Summary

From March to April 2016, the technical team developed a methodology for the analysis of coalition building. The purpose of the methodology was to identify preferences, motivations, and incentives that foster alliances and create partnerships and civil society networks for collaborative work on anti-corruption initiatives.

This methodology was initially tested with the OGP CSO Network. The key elements of the methodology are the design and analysis of causal mechanisms that explain the logic behind coalition and the key elements that motivate the articulation and establishment of anti-corruption networks. Subsequent to its use with the OGP, the methodology was adjusted in Q4 and then used to facilitate the creation of the Open Parliament network.

Open Government Partnership

On August 11, 2016, the Government of Guatemala (GOG) adopted the 2016-2018 Open Government Action Plan. This represented a culmination of three-months of arduous work – starting from scratch – between CSOs and the Executive branch (including all 14 cabinet ministries), the Office of the Comptroller General, the Ombudsman's Office, Congress, and other government agencies. The Project accompanied this process by assisting in setting up a coalition of CSOs responsible for motivating the GOG and other

civil society organizations to reactivate the Open Government Partnership in Guatemala (CSO Network for Open Government).

As noted by prominent advocacy groups, this is the first time that a wide representation of GOG agencies and civil society organizations worked together and came to a consensus on critical open government strategies. The Plan's implementation seeks to positively impact the quality of life of ordinary citizens by improving efficiency and transparency in the provision of basic public services, such as health, education and justice, among others.

Upon the Plan's approval, the CSO Network for Open Government assisted in setting up 13 working groups under the Plan's 22 commitments (See **Appendix XV** for more details on these work groups).⁴⁶ These commitments are broken down as follows:

"I would like to thank the United States Agency for International Development, USAID, for its steady support, through the Project implemented by Counterpart/ Guatemala [for the drafting of the 2016-2018 Open Government Action Plan]."

Jimmy Morales, President of Guatemala

1. Freedom of Information and Institutional Archives (#'s 1-5)
2. Technological Innovation (#'s 6-11)
3. Citizen Participation (#'s 12-14)
4. Accountability (#'s 15-16)
5. Fiscal Transparency (#'s 17-22)

This was accomplished by creating an on-line directory where GOG officials and CSO representatives signed up to join one or more working group. Each working group is responsible for developing implementation plans for their respective commitments. This quarter, the Project's technical staff and COP attended working sessions to assist in developing the agendas, methodologies, and timetables for the implementation of several commitments (#'s 3, 4, 11, 13, and 14) and is planning to engage in other working groups as they launch their work.

Furthermore, on September 7, the Project conducted a follow-up meeting with representatives of the GOG (Zaira Mejía, OGP's Government Point of Contact) and CSOs (Angel Ramirez, CSO Network for Open Government Coordinator) to discuss the Project's planned support for continuing Open Government Technical Roundtables. These roundtables are composed of both GOG and CSO representatives working towards commitment implementation and occur on a monthly basis in order to track the progress. At the September 7 meeting, the Project committed to conduct the following activities: a) Providing logistical support for the organization of Technical Roundtables through the end of the calendar year; b) Providing technical assistance and facilitation services to the working groups; and c) Co-organizing public events to give more visibility to the work of the Technical Roundtable. These tasks represent only a temporary arrangement. Once the Project's Subaward program is up and running, CSOs are expected take over the technical responsibility of the vast majority of technical and logistical activities in support of the OGP.

The Project also initiated preliminary discussions with USAID's Impactos Project in Honduras and OGP representatives in Washington, DC, to plan a regional gathering of CSO representatives and government officials from the Northern Triangle. This activity seeks to explore opportunities for regional coordination to enhance peer learning, lessons learned, and best practices in connection with the implementation and monitoring of Open Government Action Plans in the region.

Year 1 Summary

Starting in Q2, the Project was engaged in every step of the Open Government Action Plan co-design process, from the development of the methodology and the organization of consultation sessions to gather

⁴⁶ Annex XV detailing the active working groups during the implementation of the Action Plan.

inputs from the public at large, to the drafting of the Plan itself (the OGP National Action Plan process can be found in **Appendix IX**). In addition, the Project supported the organization of more than ten roundtable discussions to review and revamp the scope of the Plan in coordination with GOG agencies and CSOs. As part of these efforts, the Project sponsored the participation of CSO representatives at two regional OGP events, one in Uruguay and one in El Salvador. In funding these activities, the Project aimed to expose Guatemalan CSO representatives to lessons-learned and best practices in the design, monitoring, and implementation of the Open Government Action Plan, and to facilitate one-on-one reviews of Guatemala's draft commitments under the guidance of OGP representatives and subject specialists. This new knowledge was applied - and proved instrumental - in reaching consensus on the scope of a number of commitments, resulting in an approved 2016-2018 Action Plan within four months of starting the process with CSOs in May.

Coordination with other Implementing Partners and Donors

Open Parliament

This quarter the Project coordinated closely with the National Democratic Institute (NDI) to motivate the adoption of an Open Parliament initiative in Guatemala. The Project's joint work with NDI entailed identifying and inviting CSOs to forge a CSO Network for Open Parliament; holding an initial encounter to introduce them to the objectives of the initiative; and facilitating five subsequent working meetings with participating CSOs. NDI contributed significantly to these tasks by maintaining close communication with the current President of Congress.

Upon conducting an internal analysis of CSOs – based on the Project's CSO Coalition Building methodology discussed earlier – to assess their experience, technical qualifications, and/or interest in advancing transparency activities in Congress (see **Appendixes XII and XIV**), the Project worked with NDI and a core group of CSOs in establishing and coordinating the operations of an Open Parliament initiative in Guatemala. This initiative seeks to motivate the adoption of basic principles and practices on data openness and citizen participation set forth by the international Declaration on Parliamentary Openness, which in turn aims to foster a culture of transparency and accountability in the legislative branch. The Project, NDI, and *Congreso Transparente (Guatembia)* launched these activities by organizing a roundtable discussion on August 30 with key CSOs introducing them to the Open Parliament initiative and inviting them to form a coalition to promote its implementation. These included: *Red Ciudadana*, *Movimiento Cívico Nacional*, *Congreso Transparente*, *Acción Ciudadana*, *ASIES*, *Jóvenes Contra la Violencia*, Rafael Landívar University, *Guatemala Visible*, and *Levantemos la Voz*.

In coordination with these organizations, the Project assisted in drafting a roadmap to advance this initiative, which is composed of four key steps:

1. Requesting support from Congress to adopt the Open Parliament initiative;
2. Creating an ad hoc legislative committee responsible for co-designing an Open Parliament Action Plan, which would address five thematic areas: 1) Transparency and Access to Information, 2) Citizen Participation, 3) Probity, 4) Accountability, and 5) Technological Innovation;
3. Developing the Action Plan in close collaboration with civil society; and
4. Finalizing and implementing the Open Parliament Action Plan.

In September, the Project assisted CSOs with the development of draft governance mechanisms for the CSO Network for Open Parliament; defining their thematic areas of intervention and outlining their initial strategic steps to advocate for the adoption of an Open Parliament initiative before key members of Congress. For this purpose and other Network decision-making processes, *Red Ciudadana* (one of its prospective members) created a digital platform⁴⁷ to allow prospective members to contribute to the

⁴⁷ <http://parlamentoabierto.redciudadana.org/>

finalization of these governance mechanisms in a collaborative and efficient manner. Other CSOs are simultaneously working in developing the Network's communications strategy, organizing a public events in late October to help disseminate information on the initiative to civil society, and conducting a preliminary analysis of challenges for the implementation of the Open Parliament initiative in Guatemala. As a result of these advances and Project engagement, nine CSOs – representative of different sectors and ideological spectrums – are actively working to advance an Open Parliament initiative.

Year 1 Summary

In Y1, the Project reached out – with the Mission's support – to other USAID-implementing partners and international donors to explore potential synergies and areas of collaboration. In Q2 and Q3 the Project met with the Consortium for Elections and Political Processes Strengthening, implemented by the NDI, and DAI's Nexos Locales, to exchange information on interventions to promote social auditing initiatives and to receive a briefing on their upcoming work to promote the adoption of citizen charters at the municipal level. In Q3 the Project was able to further engage with InterNews (Journalism and Freedom of Expression Project) and the International Republican Institute to explore opportunities for coordinated efforts and joint training activities in support of local journalists. Significantly, over the past six months the Project was able to establish a collaborative relationship with NDI that resulted in the activities conducted in Q4, and planned out in Y2, around the Open Parliament Initiative in Guatemala.

2.2.b Furthering Sustainability through Peer-Learning and Establishing Communities of Practice

In September, the Project began the design of a "Community of Practice (CP)" model to provide civil society organizations with a space for the analysis and discussion of topics related to transparency, accountability, and citizen participation. This dialogue mechanism, to take place in the format of monthly meetings, is intended to help consolidate and promote an open debate on current issues, and thus strengthen the capacity of civil society actors to participate more effectively in the promotion of transparency. The creation of a CP will not only help foster knowledge exchange and sharing of best practices, it will also encourage networking and coalition-building among civil society organizations working in transparency initiatives.

Year 1 Summary

No other activities occurred under this task in Year 1 beyond those described above for Q4.

MONITORING AND EVALUATION

Counterpart submitted the seventh version of its Monitoring and Evaluation (M&E) Plan to USAID for approval on September 21. Of the 12 indicators scheduled to yield results in Y1, the Project exceeded its targets in three, met its targets in two, and did not meet its targets in seven. Four other indicators are scheduled to yield results as of Y2 and two other indicators' targets still need to be determined (for a total of 18 indicators as outlined the Project's M&E Plan⁴⁸). These additional six indicators are not included below in this report, but more detailed information can be found in the Project's M&E Annual Report for Y1.

Objective 1: Support targeted CSOs' efforts to promote accountable governance and combat corruption

⁴⁸ To date the Project's M&E Plan is still under review with USAID.

Indicator 3 (Outcome). Number of transparency and/or anti-corruption policies completing at least one of each of the following stages of development as a result of USAID assistance: 1. Stakeholder consultation/public debate; 2. Drafting or revision; 3. Approval (legislative or regulatory).

The key activity that contributed to this indicator is the approval of the 2016-2018 Open Government Action Plan by Guatemalan President Jimmy Morales on August 11, 2016. This Action Plan is a mechanism created to initiate the debate and discussion to change policy and regulatory frameworks for transparency and/or anti-corruption policies in the following years. Within this Action Plan, there are 22 commitments. These commitments are the policies which will be tracked during the LOP to achieve this indicator. The target (2) set for 2016 was not achieved because these commitments did not reach the stages defined for this indicator, therefore, the Project's progress for this indicator in Y1 is zero.

Table 1: Outcome Indicator 3 Reporting

Baseline Value	FY2016 (Oct. 2015 – Sept.2016)			Reference
	Target	Actual	Annual Variance	
0 (2015)	2	0	-2	

Indicator 5 (2.2.2-6) (Output). Number of training days provided to executive branch personnel with USG assistance.

The activity that contributed to this indicator is one training, the “OGP Facilitation Techniques Workshop.” This was a one-day training provided to CSOs and Government personnel on June 6, 2016 in order to build their capacity in facilitation techniques. This training is technical assistance provided by the Project to the Open Government Action Plan building process, for the stages of roundtables and consultations that occurred in Coban, Quetzaltenango and Guatemala. The FY16 target (20) was not achieved during this year. The target was estimated taking into account a projection of reporting by the subrecipients. The subrecipients will initiate their implementation activities during the first quarter of FY17.

Table 2: F-Indicator 2.2.2-6 / Output Indicator 5 Reporting

Baseline Value	FY2016 (Oct. 2015 – Sept.2016)			Reference
	Target	Actual	Annual Variance	
0 (2015)	20	1	-19	<ul style="list-style-type: none"> A one-day training provided with the objective to prepare facilitators for the Open Government Partnership forums was held on June 6 (in Guatemala) 9, and 13 (in Coban and Quetzaltenango).

Indicator 6 (Outcome). Number of media stories covering Accountability, Transparency, or Anti-corruption issues informed by partner CSOs.

During FY16, the CSOs participating in the OGP and Open Parliament initiatives, provided their activity updates to different media outlets to publish their stories. The details of each media story can be found in the links provided in the reference section of the indicator.

Table 3: Outcome Indicator 6 Reporting

Baseline Value	FY2016 (Oct. 2015 – Sept.2016)			Reference
	Target	Actual	Annual Variance	
0 (2015)	4	2	-2	<i>“Presidente Taracena inauguró foro Desafíos del Parlamento Abierto.”</i> http://www.congreso.gob.gt/noticias.php?id=7752 <i>“Sociedad civil propondrá políticas de transparencia.”:</i> http://elperiodico.com.gt/2016/05/24/pais/sociedad-civil-propondra-politicas-de-transparencia/

Indicator 7 (2.2.4-7) (Outcome). Number of United States Government (USG)-supported anti-corruption measures implemented.

Activities contributing to this indicator include different stages of the OGP Action Plan. Among these stages are the technical roundtables implemented for the planning, design, approval, and implementation of the 2016-2018 OGP Action Plan, and the five thematic work areas included as anti-corruption measures.

Table 4: F-Indicator 2.2.4-7 / Outcome Indicator 7 Reporting

Baseline Value	FY2016 (Oct. 2015 – Sept.2016)			Reference
	Target	Actual	Annual Variance	
0 (2015)	5	3	-2	<ul style="list-style-type: none"> <i>Stages for the design of Guatemala’s 2016-2018 Open Government Action Plan</i> <ul style="list-style-type: none"> <i>a. Civic Consultation Sessions</i> <i>b. Subject Roundtable Discussions</i> <i>Open Government Action Plan 2016-2018</i> <i>All of these measures have been publicly committed to by the government; with an operational plan; allocation of financial and human resources; specific outputs, and third party observers to the plan.</i>

Results 1.1: Increased number of CSOs that successfully conduct advocacy for reform processes and the monitoring and auditing of state performance and compliance

Indicator 8 (Output). Number of CSOs/Social Organizations Assisted.

The activities contributing to this indicator are a total of ten trainings provided to different CSOs, ten PODA sessions and nine CBAP sessions, and various events implemented by the Project. These are new organizations working with the Project. The result of this indicator is due to the positive response and active participation of the CSOs in Project activities.

Table 5: Output Indicator 8 Reporting

Baseline Value	FY2016 (Oct. 2015 – Sept.2016)			Reference
	Target	Actual	Annual Variance	
0 (2015)	35	82	+47	<p>A sample of CSOs that received assistance this reporting year are:</p> <ul style="list-style-type: none"> • <i>Acción Ciudadana</i> • <i>ASIES</i> • <i>CALAS</i> • <i>CEG</i> • <i>FADS</i> • <i>Fundación Myrna Mack</i> • <i>FUNDESA</i> • <i>ICCPG</i> • <i>ICEFI</i> • <i>MCN</i>

Indicator 9 (DR.2.4-3) (Output). Number of people affiliated with CSOs receiving transparency and anti-corruption training.

Activities contributing to this indicator include nine trainings and this information was uploaded in TraiNet.

The FY16 target was estimated taking into account a projection of the reporting by subrecipients. The subrecipients will initiate their implementation activities in the first quarter of FY17.

Table 6: F-Indicator 2.4-3 / Output Indicator 9 Reporting

Baseline Value	FY2016 (Oct. 2015 – Sept.2016)			Reference
	Target	Actual	Annual Variance	
0 (2015)	500	189	-311	<ul style="list-style-type: none"> • <i>Access to Public Information in Guatemala</i>: 22 (14 females / 8 males) • <i>The Public Procurement Act and Its Most Recent Amendments</i>: 25 (9 females/ 16 males) • <i>Open Government Partnership (OGP) Americas Regional Meeting 2016</i>: 5 (1 females/ 4 males) • <i>Open Government and Facilitation Techniques workshop</i>: 28 (10 females/18 males) • <i>Citizen Participation and Social Audit</i>: 34 (21 females/ 13 males) • <i>Training Gender and Social Inclusion, Integrating Gender Equality and Social Inclusion in the Fight Against Corruption</i>: 32 (26 females/6 males) • <i>Data Journalism Practicum</i>: 17 (4 females/13 males) • <i>Communications and Media</i>:25 (15 females/10 males) • <i>Sub-Regional Meeting of Central America North Triangle + Dominican Republic</i>: 1 (male)

Indicator 10 (DR.4-1) (Output). Number of USG-supported activities designed to promote or strengthen the civic participation of women.

During Q4 of Y1, the Project held a training on GESI, with the objective to strengthen the knowledge and skills of Civil Society Organizations to develop best practices for mainstreaming GESI in the development of their anti-corruption and transparency initiatives.

Table 7: F-Indicator 4-1 / Output Indicator 10 Reporting

Baseline Value	FY2016 (Oct. 2015 – Sept.2016)			Reference
	Target	Actual	Annual Variance	
0 (2015)	1	1	0	<ul style="list-style-type: none"> Gender and Social Inclusion Training, Integrating Gender Equality and Social Inclusion in the Fight Against Corruption: 32 (26 females/6 males)

Objective 2: Strengthen Institutional and Technical Capacity of Targeted CSOs

Indicator 13 (Output): Number of collaborative relationships CSO subgrantees are involved in with another entity.

The FY16 target was estimated taking into account a projection of reporting by subrecipients. The subrecipients will initiate their implementation activities during the first quarter of FY17.

Table 8: Output Indicator 13 Reporting

Baseline Value	FY2016 (Oct. 2015 – Sept.2016)			Reference
	Target	Actual	Annual Variance	
TBD (2015)	2	0	-2	No activities were scheduled during this quarter

Results 2.1: Increased number of CSOs engaged in transparency and good governance issues with increased organizational capacity

Indicator 14 (DR.4.2-2) (Output). Number of CSOs receiving USG assistance engaged in advocacy interventions.

Activities contributing to this indicator include trainings and TA provided to the members of the CSO Network for Open Government throughout the design and implementation stages of the 2016-2018 Open Government Action Plan and the CSOs participating the Open Parliament initiative.

Table 9: F-Indicator 4.2-2 / Output Indicator 14 Reporting

Baseline Value	FY2016 (Oct. 2015 – Sept.2016)			Reference
	Target	Actual	Annual Variance	
0 (2015)	6	12	+6	<ul style="list-style-type: none"> Acción Ciudadana Guatecambia/Congreso Transparente Guatecivica Red Ciudadana Instituto Centroamericano de Estudios Fiscales Centro Internacional para investigaciones en Derechos Humanos ASIES Rafael Landivar University Guatemala Visible

				<ul style="list-style-type: none"> • <i>Fundación Mirna Mack</i> • <i>Jovenes contra la Violencia</i> • <i>Movimiento Cívico Nacional</i>
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Indicator 15 (DR. 5.2-1) (Output). Number of training days provided to journalists with USG assistance, measured in persons-days of training.

During this quarter, a journalist training practicum was initiated with the objective to strengthen the theoretical and technical capacities of traditional and non-traditional media on Data Journalism. This training began on September 19, 2016, and will be on-going until January 2017.

Table 10: F-Indicator 5.2.-1 / Output Indicator 15 Reporting

Baseline Value	FY2016 (Oct. 2015 – Sept.2016)			Reference
	Target	Actual	Annual Variance	
0 (2015)	4	0	-4	

Result 2.2: Enhanced coordination and collaboration among CSOs engaged in transparency, good governance, particularly in creating spaces for dialogue and consensus around key issues and strategies

Indicator 16 (Outcome): Number of CSO networks established.

In August, a Memorandum of Understanding was signed by six CSOs to raise the profile of civil society in the Open Government Partnership initiative in Guatemala. The CSOs plan to use this platform to promote anti-corruption efforts and to encourage citizen participation both domestically and internationally.

Table 11: Output Indicator 16 Reporting

Baseline Value	FY2016 (Oct. 2015 – Sept.2016)			Reference
	Target	Actual	Annual Variance	
TBD (2015)	1	1	0	<p><i>The organizations that form the CSO Network for Open Government are:</i></p> <ul style="list-style-type: none"> • <i>Acción Ciudadana</i> • <i>Guatecambia/Congreso Transparente</i> • <i>Guatecívica</i> • <i>Red Ciudadana</i> • <i>Instituto Centroamericano de Estudios Fiscales</i> • <i>Centro Internacional para investigaciones en Derechos Humanos</i>

Indicator 18 (Outcome): Number of activities executed by CSOs resulting from collaborative relationships among two or more organizations to advance transparency and good governance initiatives.

Activities contributing to this indicator include the activities resulting from the collaboration of the CSO Network for Open Government, stakeholder consultations, and the revision and approval of the 2016-2018 Open Government Action Plan.

Table 12: Output Indicator 18 Reporting

Baseline Value	FY2016 (Oct. 2015 – Sept.2016)			Reference
	Target	Actual	Annual Variance	
TBD (2015)	5	9	+4	<ul style="list-style-type: none"> • Public call for participation in consultation process (press conference). • Creation of a space for citizen opinions on the Open Government website, promotion of “I am Open Government” campaign on websites and social media of interested stakeholders. • Open Government Forum (OAS) held in the National Palace of Culture. • Forums for open citizen consultations (3 Forums). • Technical Roundtable Meetings (2 rounds) • Meeting of Technical Roundtable and Open Government Workshop for discussion on viability and impact of commitments generated by thematic roundtables. • Open Government Technical Roundtable Meeting for approval and validation of the final draft of the 2016-2018 of Open Government Action Plan • Submission of the final draft of 2016-2018 Open Government Action Plan

Knowledge Management Portal

During this quarter, the tools for data collection of the different activities such as trainings, events, and TA are being designed and will be used to upload information of Project events and trainings to the KMP.

Year 1 Summary

Counterpart’s Knowledge Management specialist conducted a series of training sessions to project Staff starting in Q2 and the team began the process of uploading data into the portal.

TraiNet

Information on the ten trainings are entered in TraiNet for Y1. The trainings include eight in-country training programs following the ADS 253 criteria (two consecutive class days or more in duration, 16 contact hours or more scheduled intermittently and other training events that are critical to the development of the project), and two third-country conferences. The Project completed 10 training activities in Y1 (two more than originally scheduled), which reached a total of 229 individuals⁴⁹ (female: 125, male: 104) from 82 CSOs (8 NGOs, 3 Private Sector Organizations, 60 Foundations and Associations, 3 Think Tanks, and 8 Media Outlets) and 5 GOG agencies. (See **Appendix I** which summarizes all training-related information entered into TraiNet).

⁴⁹ Four of these participants represented the LGBTI Community and identified themselves as “Other”: Two participants of Citizen Participation and Social Audit Training and two of the Proposal Development Workshop. For reporting processes, especially as it relates to TraiNet, the Project used a subjective labeling based on the names and biological appearance of participants.

These trainings and conferences have targeted both technical capacities relevant to anti-corruption/transparency efforts (e.g., Access to Public Information, Public Procurement, Data Journalism, Open Government Partnership, and Citizen Participation and Social Audit) and organizational development capacities relevant to increasing the effectiveness of CSO operations and missions (e.g., Proposal Development, Communications and Media, Facilitation, and GESI). This two-pronged, holistic approach to CSO capacity development is one of the Project's key strategies to support CSOs' efforts to combat corruption in Guatemala (Objective 1) and strengthen their institutional and technical capacity (Objective 2).

Program Quality and Learning

No activities occurred under this task for Q4.

Year 1 Summary

This year Project staff were trained in the Most Significant Change (MSC) methodology, which is a form of participatory monitoring and evaluation. Project staff also began the design of a Project Learning Framework as a tool to link Project results with Counterpart's broader learning agenda. The Project will use this Learning Framework as a management tool to generate data and findings relevant to the Project's learning questions. The MSC and the Project Learning Framework will be implemented and utilized throughout the life of the Project.

SPECIAL REPORTING

Project Management Overview

During the last quarter, five new staff members joined the team to fill the following positions: Technical Assistant (August 1), Finance & Administration Officer (August 25); Bookkeeper Accountant (September 1); Human Resources Officer (September 12); and the M&E Manager (September 19).

Year 1 Summary

As of September 2016, the Project's staff consists of 17 staff members, with two pending positions (Project drivers) that still need to be contracted once the vehicles are approved for use.

Environmental Mitigation and Monitoring

The Project's Environmental Mitigation and Monitoring Plan (EMMP) was approved on February 4, 2016 and all office renovations were completed that month.

USAID Key Issues

Anti-Corruption: The Project conducted activities on four fronts to engage civil society organizations in the fight against corruption in Guatemala. These included: 1) Technical assistance support to forge two Networks of Civil Society Organizations responsible for advancing, respectively, OGP and Open Parliament initiatives in Guatemala; 2) Ten training activities to expose 260 CSO representatives to basic tools and mechanisms to promote citizen participation, government accountability and transparency; 3) Two RFAs to fund the implementation of citizen-driven initiatives to curb corruption via subgrants; and 4) Launched the Project's RRF mechanism to attend to unexpected opportunities to advance transparency/anti-corruption initiatives.

Open Government Partnership: Open Government: On August 11, 2016, the Government of Guatemala adopted the 2016-2018 Open Government Action Plan. This was a culmination of three-months of arduous

joint work between Civil Society Organizations and the Executive branch (including all 14 cabinet ministries), the Office of the Comptroller General, the Ombudsman's Office, Congress and other government agencies. This Plan, jointly designed by the Government of Guatemala and a coalition of key civil society organizations, set-up and assisted by the Project, prioritizes a list of action items that the Government of Guatemala will implement for the next two years to advance citizen participation, government accountability, and transparency. As noted by prominent advocacy groups, this is the first time that the GOG and CSOs worked together and achieved a consensus on critical open government strategies that need to be implemented to positively impact the quality of life of ordinary citizens. In addition, the Project began its support to some of the working groups responsible for implementing the 22 commitments under the Plan (i.e. commitments # 3, 4, 11, 13, and 14).

Inclusive Development: Participation of people with disabilities: A GESI transformative approach goes beyond just mentioning marginalized populations in documents. It is about giving marginalized groups a voice and incorporating their experiences, expectations, needs, and knowledge in the Project's interventions, as well as providing the tools, spaces, and platforms for them to become active participants and agents of change in anti-corruption initiatives. The Project aims to expand its outreach to a diverse group of CSOs and within this group, aims to increase the participation of marginalized populations in Project activities. As a result, in Y1 (as will be the case with subsequent years), organizations representing persons with disabilities, such as the National Council for Attention to Persons with Disabilities (CONADI), have been invited and encouraged to participate in Project activities, like the two-day GESI training.

Gender Equity and Social Inclusion

Given the need to diversify the CSO actors that actively address corruption and unaccountable governance practices, the Project expanded its outreach during the first year of implementation by conducting an analyses to include organizations that advocate for the advancement of marginalized populations in Project initiatives.

The Project, through its GESI strategy,⁵⁰ plans to integrate GESI into the work of CSOs so that they can play a more effective role in addressing corruption issues that affect marginalized populations. In order to address this issue, the Project conducted its first GESI-specific training with CSOs (described more in detail above, see **Cross-Cutting Section**). This process is part of an integral approach⁵¹ not only to increase the capacities of CSOs to integrate GESI approaches in their initiatives, but also to respond to the need to promote linkages between CSOs that traditionally focus on the issues of anti-corruption and transparency with organizations that specifically advocate for the advancement of marginalized populations.

Transition Award Plan

The Transition Award Plan was submitted to USAID as an Annex of the Y2 Work Plan and is pending USAID approval. Reporting regarding its implementation will start in Y2.

Development Experience Clearinghouse

To date, Counterpart has uploaded two USAID approved documents into DEC: The Quarterly Reports for October – December 2015 and for January – March 2016. The Quarterly Report for April-June 2016 is still pending USAID approval.

⁵⁰ Currently under review for approval by USAID.

⁵¹ As described in the Y2 Work Plan Technical Assistance and Training Plan.

ACHIEVEMENTS

Institutional Strengthening Combined Subgrants

The Project finalized the process of selection of CSOs to receive support as part of Phase 1 of the ISCS program, and submitted the subgrant packages for USAID's review and technical concurrence. Upon approval from USAID, the Project will award up to five subgrants to perform technical activities under Objective 1, followed by the respective incorporation of OD activities and funds under OD, Objective 2. In order to advance the ISCS program, the Project issued the RFA associated with its Phase 2, which seeks to provide support for the implementation of initiatives focused on: 1) Open government; 2) Budget transparency and social auditing; 3) Anti-corruption legal framework; 4) Improved delivery of public services at the local and national levels; and 5) Investigative journalism.

Organizational Development

The Project successfully completed ten PODAs and nine CBAP sessions in support of all Leader CSOs identified in the CSO Mapping. These two stages in the OD Cycle resulted in the creation of a number of tools, reports, and plans for each organization that will be the basis and guidance for their IS during Y2, if selected as a Project subrecipient. Each of the CSOs working with the Project expressed their satisfaction and enthusiasm with the assessment and planning processes, two of the three crucial steps in the OD Program. The organizations involved are supportive of the methodology and its results which indicates a higher likelihood of CSO ownership of results, and their active engagement in the next steps of the process which mainly include IS tasks.

Additionally, the Project successfully designed and conducted a Proposal Development Workshop for 40 participants from 34 CSOs. The training was geared towards developing and strengthening the CSOs' capabilities in proposal writing. This workshop specifically addressed common weaknesses identified during the revision of Phase 1 subgrant applications, such as the lack of a clearly articulated vision that lines up with a project logic framework and mission of the donor. It is expected that the participating CSOs will be able to produce higher quality proposals for the Phase 2 subgrant applications, as well as for other donors.

Open Government Partnership

The GOG adopted the 2016-2018 Open Government Action Plan. The Project was instrumental in the development of the Action Plan, bringing together six leading CSOs from Guatemala to form the CSO Network for Open Government, and facilitating a dialogue with representatives from the Guatemalan Executive branch, the Office of the Comptroller General, the Ombudsman's Office, Congress, and others. This resulting Action Plan represents a road map for the adoption of concrete actions by the GOG in order to advance citizen participation, government accountability, and transparency.

Building the Institutional and Anti-Corruption Capacities of CSOs

In a span of less than six months, from April through September 2016, the Project organized and/or funded the participation of 229 CSO representatives from 82 CSOs for 10 different training activities (see **Appendix I**). By exposing CSO representatives to basic watchdog tools, the Project began to build up the CSO's technical capacities to address their anti-corruption work more effectively. Hence, the training program included introductory courses in key technical subjects (i.e., Access to Information, Government Procurement, Social Auditing, and Open Government). These were supplemented by training sessions in OD areas to further the impact of their advocacy/anti-corruption work (i.e., Communications and Media, Facilitation Techniques, GESI, and Proposal Development). All courses targeted a diversified group of CSOs, which included advocacy groups, grassroots organizations, think tanks, universities, civic movements, private sector foundations, NGOs representing marginalized populations, etc. Pre and post

evaluation results, increased by a margin of at least 62.5%, which demonstrates an effective transfer of knowledge to course participants.

Establishing Strong Cooperation Ties with Key Members of Government

At the onset of the Project's work in support of the OGP initiative in Guatemala, the Project encountered a certain level of distrust on the part of GOG officials, who seemed suspicious of the Project's engagement in the creation of the CSO Network for Open Government. It was likely perceived that the Project, with more resources to attend OGP activities than those available to the entering administration, would attempt to impose an agenda. The Project's continued collaboration and communications with the OGP's Point of Contact in Government played a vital role in dissipating said suspicions. Furthermore, the Project further endorsed its neutral position working collaboratively with all parties involved in the design of the 2016-2018 Open Government Action Plan. This approach allowed the Project to mediate initial tensions between the GOG and CSOs. To date, the Project has established a very solid relationship with the Executive branch and is in the process of forging cooperation with key members of Congress and others in government. These connections will assist in bolstering the advocacy work of our CSO partners in the future.

Forging Coalitions of CSOs

The Project played an instrumental role in forging two coalitions of CSOs to advance transparency, accountability, and citizen participation across the public sector: The CSO Network for Open Government and the CSO Network for Open Parliament. These coalitions emerged organically as CSOs themselves were the initial force behind them. By analyzing motivations for collaboration as well as the complementary strengths of its prospective members (see Result 2.2) based on a CSO Coalition Building Analysis (see **Appendix XV**), the Project identified CSOs from very different walks of life – but with underlying common interests – willing to join forces in the framework of the two referred networks. Both CSOs are working steadily, in spite of the lack of direct Project funding, towards their respective objectives. The CSO Network for Open Government already accomplished a major preliminary objective: The approval by 38 government entities and 11 CSOs of the 2016-2018 Open Government Action Plan. The CSO Network for Open Parliament, for its part, is working actively towards securing Congress' support to launch an Open Parliament initiative next quarter.

BEST PRACTICES, SUCCESS STORIES, AND CHALLENGES

Best Practices

CSO Coalition-Building

The Project designed a methodology (See **Appendix XIV**) that outlines key criteria to assess the likelihood of forging solid relationships between CSOs, GOG agencies, and other stakeholders in the fight against corruption. The CSO-coalition building methodology considers the analysis of several evaluation factors, including existing cooperation ties among CSOs; incentives to joining forces; CSOs' influence and reputation; technical expertise and political experience. This methodology classifies CSOs into three categories: Primary Partners, Strategic Partners, and Potential Allies. The Project's CSO-building methodology tested successfully with the creation of the CSO Network for Open Government and it's also being applied in the on-going formation of the prospective CSO Network for Open Parliament.

Success Stories

Open Government Partnership

See **Appendix XI** for a summary of the Project's success in bringing together CSOs and GOG agencies to develop the 2016-2018 Open Government Action Plan.

Challenges

GESI

Despite the efforts to expand the Project's outreach to a diverse group of CSOs, the challenge next quarter and for the rest of Y2 will be to promote and increase the participation of marginalized population-led organizations in coalitions and discussion spaces into Project activities. To address this challenge, the Project will develop specific actions such as Communities of Practice with the participation of CSOs that traditionally focus on issues of anti-corruption and transparency with organizations that specifically advocate for the advancement of marginalized populations in order to promote linkages and alliances among them. The Project will also increase and strengthen the knowledge of CSOs regarding the connections between the advancement of marginalized groups' human rights, and anti-corruption practices and strategies.

PROGRAMMING PRIORITIES FOR NEXT QUARTER

The Project plans the following priority activities for Q1 Y2:

1. Open Government Partnership

The Project will provide continued technical support to open government activities in Guatemala. The Project intends to hire an Open Government specialist to provide technical support to the CSO Network for Open Parliament and the OGP's Point of Contact in Government to follow the implementation of the 2016-2018 Open Government Action Plan. The Project also anticipates receiving applications for subgrants aimed at advancing the Open Government initiative.

2. Open Parliament Initiative

The Project will continue working with NDI and a core group of Civil Society Organizations⁵² to promote and consolidate the Open Parliament initiative in Guatemala. To this end, the Project will continue providing TA to the core group of CSOs to help them identify agenda reforms that should be included in the National Action Plan for Open Parliament. In addition, the Project will seek to strengthen their skills and capacity to advocate for support from the Guatemalan Congress to adopt the Open Parliament proposal.

3. Institutional Strengthening Combined Subgrants

The Project will sign subgrant agreements with up to five selected CSO's for Phase 1 subgrants, and will conduct a workshop on the "Introduction to Grants Management/Kick-Off Meeting" for each subrecipient. The main objective of this workshop is to provide subrecipients with guidelines to ensure that awarded projects are implemented in compliance with USAID's and Counterpart's programmatic and financial policies and procedures as established in the subgrant agreements. The Project will carry out the evaluation process for the selection of subrecipients for Phase 2 subgrants, and expects to award 8-15 subgrants at the end of Q1 Y2. The GMU will also draft and issue a RFA for Phase 3 subgrants – aimed at supporting marginalized populations through anti-corruption efforts.

4. Rapid Response Fund

Under the RRF component, the Project was approached by a FADS representative who presented an executive summary of a potential project to perform an analysis and monitoring activity to ensure a

⁵² Acción Ciudadana; Asociación de Investigación y Estudios Sociales; Congreso Transparente; Guatemala Visible; Jóvenes contra la Violencia; Levantemos la voz; Movimiento Cívico Nacional; Red Ciudadana; y Universidad Rafael Landívar.

transparent procurement process in the award of a telecommunication band by the local Government. The Project will perform the due diligence to present the required documentation for USAID's review and approval of this potential project under the RRF component.

5. Organizational Development

The Project will provide additional support to the Leader CSOs to finalize their CBAP. Once subrecipients are officially selected, the GMU will proceed to award the OD subgrant component. Subrecipients from Phase 2 are expected to be selected in Q1 of Y2 and the team will begin scheduling the implementation of the first stage in their OD Cycle. Also, the Project considers Grassroots Organizations as important stakeholders and plans to strengthen their institutional capacities through the OD Program. Because of their importance in the actual political scenario, *#JusticiaYa* will be the first civic movement to be supported with this mechanism. As part of the IS stage (stage 3 in the OD cycle), in Q1 of Y2 the Project will also begin planning and implementing specific TA activities with this organization through a Memorandum of Understanding.

6. Gender Equality and Social Inclusion (GESI)

The Project will conduct a GESI analysis to inform the overall Project implementation strategy, as well as the approach for the RFA Phase 3. The Project will also design a GESI tracking tool to strengthen and update the Project's M&E Plan to best capture the GESI results of the Project. Additionally, the Project will design the GESI-specific trainings for Y2 as a part of the TA being provided to selected CSOs to build their capacities to integrate GESI into their organizational structures and programmatic priorities.

7. Journalism Training and Audience Survey

The Project will continue overseeing the implementation of its Data Journalism Practicum, which seeks to strengthen the institutional capacities of investigative reporters from print, digital and electronic media through virtual coaching sessions and a four-day training course in Guatemala City in late 2016. In doing so, the Project will contribute to enhance investigative journalists' knowledge and techniques to develop their research skills and abilities to disclose government corruption.

The Project will also conduct a search process and select the appropriate company to implement a survey on Audience and Media Consumption to assist CSOs in determining the media or dissemination strategy to more effectively reach their target audiences. This survey will be a critical tool to promote an effective use of the media with measurable impact and will become a starting point for an annual survey.

8. Project's Website

The Project's website will be up and running in December 2016. It will offer up-to-date information on activities, events, trainings, competitive subgrant processes, and other Project-related information.

9. International Conferences

The Project will sponsor the participation of CSO representatives at the following international conferences:

- 17th IACC (Panama City, December 1-4, 2016).
- OGP Global Summit 2016 (Paris, France December 7-9, 2016)

The participation of CSO representatives is expected to motivate cooperation ties among CSOs, and at the same time, expose them to lessons learned, best practices, and cutting-edge initiatives in fostering government accountability, transparency, and citizen participation.

In coordination with CP's Honduras Impactos project, the Project will also support the attendance of four CSO representatives to a regional OGP event to take place in Honduras in November 2016 to facilitate

greater regional cooperation and sharing of best practices and lessons learned, resulting in a greater number of tools available to Guatemalan CSOs to apply in their OGP activities.

10. Baseline Study

The expected timeline for the completion of the baseline study will be approximately two months with the field work to be completed by the end of October/early November. The data collection includes qualitative data through 40 key informant interviews and 12 focus group discussions distributed in targeted locations in Guatemala City, Villa Nueva, Mixco, and Amatitlán. The purpose of these qualitative sessions will be to obtain personal and professional insights on issues regarding citizen security, accountable governance, and corruption, and the perceived role of CSOs in addressing these concerns from a range of citizen and other stakeholders' viewpoints. Quantitative data will be collected by surveying random and representative samples of citizens in each targeted locations using the latest available data from the National Statistics Institute as the sample source. The sample includes a total of 1,200 household surveys to obtain citizen perception about the role of CSOs in issues such as accountable governance, corruption and violence.

The first draft report of the baseline study will be available in December 2016. An analysis session of the findings and results will be held with USAID/Guatemala in order to obtain inputs for the final report. The final results will be shared with key stakeholders, such as government institutions, CSO representatives at both a national and municipal level and other USAID-funded projects.

11. Communities of Practice (CP)

In the next quarter, the project will hold two meetings of the proposed CP with CSOs, starting in November, which would cover the following topics: 1) Transparency Reforms in the Guatemalan Political agenda; 2) Sustainable Development and Anti-Corruption; 3) Analysis of Guatemala's Proposed 2017 General Budget; 4) Open Government Initiative and Parliamentary Analysis; and 5) "Challenges and Priorities in Combating Corruption in 2017."

12. Training on Sustainable Development and Anti-Corruption

In November, The Project will organize a training course on "Sustainable Development and Anti-Corruption," which will guide CSOs on how to design their anti-corruption interventions based on upholding basic human rights, such as access to education, health, justice, etc. Upon conclusion of the course, the Project will also organize a public forum on the same topic which will be open to the general public.

APPENDICES

Appendix I: Training Activities Summary

Event name	Date (Start and End)	Location	# of participants (include disaggregation)	Field of Study	Actual Cost
Access to Public Information in Guatemala: Experiences and Lessons Learned	April 12, 2016 to May 17, 2016	Guatemala City	Female: 14 Male: 8 Total 22	Public Information	\$1,892.41
The Public Procurement act and its most recent amendments	May 31, 2016 to June 2, 2016	Guatemala City	Female: 9 Male: 16 Total 25	Public Procurement	\$ 5, 038.24
Open Government Partnership (OGP) Americas Regional Meeting 2016	May 31, 2016 to June 2, 2016	Montevideo, Uruguay	Female: 1 Male: 4 Total 5	Open Government	\$19,010.57
OGP Facilitation Techniques Workshop	June 6, 2016	Guatemala City	Female: 10 Male: 18 Total 28	Open Government	\$ 223.11
Citizen Participation and Social Audit	August 12, 19, 26, 2016 September 2, 9, 14, 2016	Guatemala City	Female: 21 Male: 13 Total 34	Social Audit	\$9,357.00
Proposal Development Workshop	September 1-2, 2016	Guatemala City	Female: 25 Male: 15 Total: 40	Management	\$7,714.89
Gender and Social Inclusion Training: Integrating Gender Equality and Social Inclusion in the Fight against Corruption	September 26-27, 2016	Guatemala City	Female: 26 Male: 6 Total 32	Gender and Social Inclusion	\$3,779.49
Data Journalism Training Course	September 19, 2016	IT Learning, Guatemala City	Female: 4 Male: 13 Total 17	Communication	Ongoing
Communications and Media	September 22-23, 2016	Guatemala City	Female: 15 Male: 10 Total 25	Communication	\$3,214.05
Sub-Regional Meeting of Central America North Triangle + Dominican Republic	July 19-20, 2016	El Salvador	Male: 1 Total 1	Open Government Partnership	\$924.03

Appendix II: CSOs Added to the CSO Local Contact Database

The following 26 CSOs were included in the last reporting period:

1. Asociación Civil Justicia y Libertad
2. Asociación de Caficultores Asociados del Norte –CAFESANO-
3. Asociación de Capacitación y Asistencia Técnica en Educación y Discapacidad -ASCATED-
4. Asociación El Refugio de la Niñez
5. Asociación Lambda
6. Asociación para el Desarrollo Ecológico Vicalama –ADEVI-
7. Asociación para el Desarrollo Rural Integral -ADRI-
8. Asociación TulaSalud
9. Centro de Investigación para la Prevención de la Violencia en Centroamérica –CIPREVICA-
10. Centro de Investigaciones Económicas Nacionales –CIEN-
11. Colectivo de hombres trans Trans-Formación
12. Coordinadora de organizaciones No Gubernamentales de Alta Verapaz –CONGAV-
13. Fundación Margarita Tejada para Niños con Síndrome de Down
14. Instituto de Cooperación Social –ICOS-
15. Instituto de Progreso Social (IPS Guatemala)
16. La Lupa
17. Mesa de la Juventud, Tactic, Alta Verapaz
18. Mesa Nacional para las Migraciones en Guatemala -MENAMIG-
19. Observatorio Contra el Acoso Callejero Guatemala
20. Organización Mujeres en Superación –OMES-
21. Organización para el Desarrollo Integral Sostenible de Oriente y Guatemala –ODISOG-
22. Organización Trans Reinas de la Noche, OTRANS-RN
23. Red Multicultural de Mujeres Trans de Guatemala - REDMMUTRANS
24. Red Nacional de Diversidad Sexual y VIH de Guatemala –REDNADS-
25. Sociedad para el Desarrollo de la Juventud -SODEJU-
26. Unidos por Guatemala

Appendix III: Training and Technical Assistance Agendas for Q4⁵³

Citizen Participation and Social Audit

SESSIONS	OBJECTIVE	TRAINERS	DATE
Citizen Participation and Civil Society	To analyze and discuss the importance of the participation of civil society as the foundation for the consolidation of the democratic system.	Raúl Bolaños del Águila	August 12
Introduction to Social Auditing	To introduce the background, fundaments, and legal framework of social auditing as means for the exercise of active and responsible citizen participation.	Ana Castro Villatoro	August 19
Phases- Social Audit			August 26
Tools for developing social audit exercises I	To provide the main tools and instruments for the development of effective social audit exercises	Raúl Bolaños del Águila	September 2
Tools for developing social audit exercises II			September 9
Introduction to analysis, negotiation and conflict resolution	To provide knowledge and tools for addressing conflict through methods based on dialogue and negotiation.	Marizza Herrera	September 14

Proposal Development Workshop

SESSIONS	OBJECTIVE	TRAINERS	DATE
Planning for Fundraising	To develop and/or strengthen CSO's staff skills in identifying funding opportunities and writing high quality proposals in response to those opportunities. This will enable them to mobilize diverse funding resources from different sources to increase their long term sustainability.	Lucrecia Peinado	September 1
The Cycle to Develop Proposals			
Technical Section of the Proposal (from ideas or problems to projects)			
Promoting gender equality and social inclusion, the role of CSO's as agents of change			September 2
Incorporation of Cross Cutting Activities in the Proposal			
Proposal Content (risk analysis, monitoring and evaluation, timeline, budget, program description, justification, executive summary, proposal cover and annexes)			

⁵³ Note that the Data Journalism Training course agenda is not included in this Appendix as Q4 activities revolved around instructor one-on-one guidance and tutoring. In-class activities will occur in Q1 Y2.

Gender Equality and Social Inclusion

SESSIONS	OBJECTIVE	TRAINERS	DATE
Gender equality and social inclusion, human rights based approach	Strengthen the knowledge and skills of Civil Society Organizations to develop best practices for mainstreaming gender equality and social inclusion in their development, anti-corruption and transparency initiatives.	Karol Ponciano	September 27
Differentiated human development of the Guatemalan population			
The Impact of Gender and social inclusion in development programs			
Tools for gender and social inclusion integration into the project cycle			
Promoting gender equality and social inclusion, the role of CSO's as agents of change			

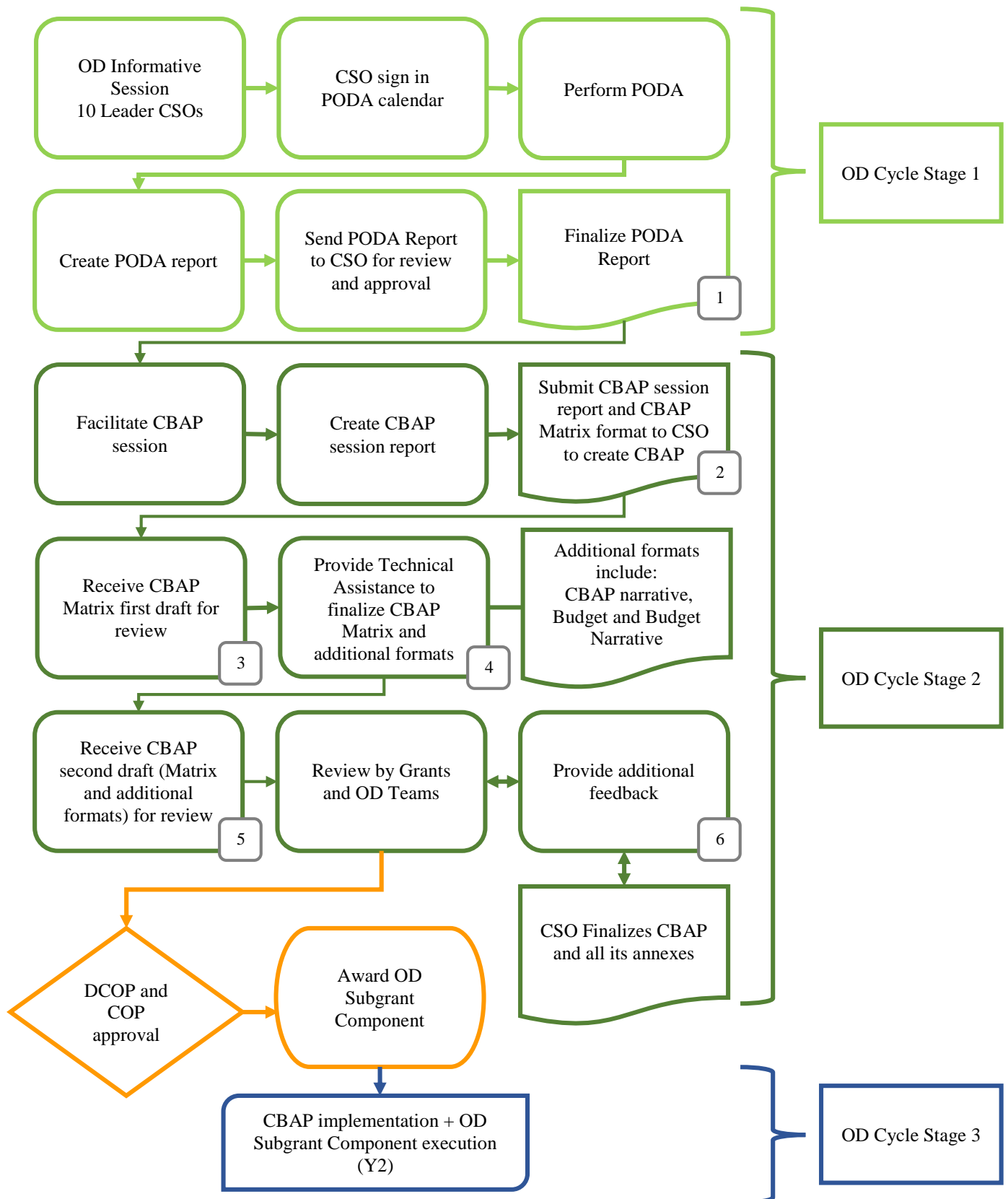
Communications and Media for CSOs

SESSIONS	OBJECTIVE	TRAINERS	DATE
Leadership in communications for advocacy	Provide the CSOs with technical advice on how to strengthen and enhance the impact of communications and external relations.	Juan Carlos Zapata	September 22
The right of communications and access to public information		Silvio Gramajo	
What is needed to rise the interest of journalists on the information of my organization?		Ana Carolina Alpírez	
Facts, interpretations, and opinions		Mario Antonio Sandoval	
External relations: Success is in our hands		Diego Palma	September 23
Characteristics and incidence of digital journalism in Guatemala		Gaby Barrios	
Gender and words: Power for change		Odeth Alvarado	
Communications for the transformation of Guatemala		Briseida Milián and Gabriel Wer	

Appendix IV: PODAs and Action Planning Progress as of End of Q4 Y1

Organization	Actual stage in the OD process (numbers correspond to a step detailed in Appendix V)	Next steps
<i>Familiares y Amigos Contra la Delincuencia y el Secuestro –FADS</i>	6 – Provided feedback to all CBAP documents for finalization	The organization will submit all revised documents for finalization, approval and award a grant when (and if) the CSO is officially selected as subrecipient.
<i>Acción Ciudadana</i>	4 - Provided additional formats and Technical Assistance to complete CBAP	CSO will submit the revised CBAP and additional documents in October 2016 for review.
<i>Asociación de Investigación y Estudios Sociales -ASIES</i>	4 - Provided additional formats and Technical Assistance to complete CBAP	CSO will submit the revised CBAP and additional documents in October 2016 for review.
<i>Fundación para el Desarrollo de Guatemala –FUNDESA</i>	4 - Provided additional formats and Technical Assistance to complete CBAP	CSO will submit the revised CBAP and additional documents in October 2016 for review.
<i>Fundación Myrna Mack – FMM</i>	4 - Provided additional formats and Technical Assistance to complete CBAP	CSO will submit the revised CBAP and additional documents in October 2016 for review.
<i>Instituto de Estudios Comparados en Ciencias Penales de Guatemala - ICCPG</i>	3 – Received CBAP for review and comments	The Project will provide feedback to finalize CBAP Matrix. Further assistance will not be provided unless the CSO is selected as subrecipient in other Grants Phases.
<i>Movimiento Cívico Nacional –MCN</i>	2 – Submitted CBAP session report and CBAP Matrix format to create CBAP	The Project will provide feedback to finalize CBAP Matrix when the organization submits it. Further assistance will not be provided unless the CSO is selected as subrecipient in other Grants Phases.
<i>Instituto Centroamericano de Estudios Fiscales –ICEFI</i>	2 – Submitted CBAP session report and CBAP Matrix format to create CBAP	The Project will provide feedback to finalize CBAP Matrix when the organization submits it. Further assistance will not be provided unless the CSO is selected as subrecipient in other Grants Phases.
<i>Centro de Acción Legal Ambiental y Social de Guatemala -CALAS</i>	2 – CBAP session done.	CBAP session report will be submitted the first days of October 2016. The Project will provide feedback to finalize CBAP Matrix. Further assistance will not be provided unless the CSO is selected as subrecipient in other Grants Phases.
<i>Centro de Estudios de Guatemala -CEG</i>	1 – PODA report finalized.	The CSO has not shown interest in continuing the process. If possible, the Project will perform the CBAP session in the first quarter of year 2.

Appendix V: Detailed OD Activities per OD Stage – Year 1 – Leader CSOs



Appendix VI: Scoring Results, Average for All 10 Leader CSOs

Functional Area	Understanding	Completed ⁵⁴	Related TA for Y2
Leadership and Strategic Management	2.90	2.76	Systemic Consultancy (also supports other Functional Areas)
Program and/or Project Management	2.86	2.34	Knowledge Management
Financial Management & Accounting	3.10	2.92	-
Financial Sustainability	2.40	2.00	Financial Sustainability and Strategic Planning (also related to Functional Area 1)
Human and Material Resources	2.67	2.22	Personnel Management and Staff Development
External Relationships & Communications	3.01	2.48	Effective and Successful Communications for CSOs
Average	2.82	2.45	

⁵⁴ Counterpart scores institutional capacity based on two key metrics - Completed and Understanding. Completed refers to the presence of a system to address that management issue - preferably in writing. Understanding refers to practice of a system within the organization.

Appendix VII: Relevant Project Photographs of Q4

Open Government Partnership



Subregional Meeting on Open Government for the Northern Triangle and the Dominican Republic. San Salvador. July 19-21, 2016.



Meeting to sign Memorandum of Understanding (MOU) with CSO Network for Open Government. August 3, 2016. Counterpart Offices. (Photo: Participación Cívica)





High-Level Technical Roundtable to present the 2016-2018 Open Government Action Plan. August 11, 2016. National Palace. (Photo: Participación Cívica)



Introductory meeting between the CSO Network for Open Government and Joan Parker, Counterpart International's President and CEO. August 24. (Photo: Participación Cívica).



OGP Technical Roundtable meeting with GOG officials and representatives of the CSO Network for Open Government. September 13. Participación Cívica. (Photo: Participación Cívica).

Open Parliament



Ángel Ramírez from Congreso Transparente presents the Open Parliament initiative. August 30. (Photo: Participación Cívica).



Follow up meeting with prospective members of the CSO Network for Open Parliament. September 27. Participación Cívica. (Photo: Participación Cívica).

Training and Technical Assistance



First module of the Project's training course on "Social Auditing and Citizen Participation". August 12, 2016 (Photo: Participación Cívica)



Communications and Media training for Civil Society Organizations. September 22-23. (Photo: Participación Cívica).



Training course on “Gender Equality and Social Inclusion”. September 26-27. Participación Cívica. (Photo: Participación Cívica).



Proposal Development Workshop. Hotel Radisson. September 1-2. (Photo: Participación Cívica).

Organizational Development



Working session with FUNDESA to facilitate the drafting of their Capacity-Building Action Plan. August 5, 2016. (Photos: Participación Cívica).



Technical assistance session with representatives of ICCPG to revise and revamp their CBAP. September 8. ICCPG. (Photo: Participación Cívica).



OD Training and Adaptation of OD Tools. March 28 and April 8, 2016. (Photos: Participación Cívica)



PODA sessions – FADS and ASIES. (Photo: Participación Cívica)

Appendix VIII: Executive Summary in Spanish

See separate attachment.

Appendix IX. OGP National Action Plan Process

OGP National Action Plan 2016-2018 Co-Creation Process		
Co-Creation Process		Implementation Process
1 st	Strategic Planning: The Project provided TA to the Network to develop a strategy to elaborate an open government action plan.	The Project is actively participating in the monitoring and evaluation of the commitments’ implementation, through the participation in the working groups formed specifically to carry out each commitment of the OGP Action Plan. For instance, to support commitment No.3, the technical team is providing technical assistance to CSOs and public institutions to build a methodology to evaluate good practices in observing the obligations under the Access to Information Law. The Project anticipates participating in other key commitments in support of the OGP initiative.
2 nd	Citizen consultation days: The Project trained 26 participants (female: 10 and male: 18) in Open Government and Facilitation Techniques to support the consultation process that occurred in Cobán, Quetzaltenango, and Guatemala.	
3 rd	Technical roundtables: The Project provided logistical support, and TA to CSOs and the GOG in the organization of Technical Roundtables to further develop Plan commitments.	
4 th	Approval: President Jimmy Morales enacted the Plan officially, which the Project assisted in translating into English for submission to the OGP.	
Comments: The Project, through strategic collaboration with NDI, is well positioned to promote the Open Parliament initiative and connect relevant OGP commitments to the Open Parliament initiative.		

Appendix X. 2016-2018 Open Government Action Plan (English Translation)

See separate attachment.

Appendix XI. Success Story – Open Government Partnership Initiative

See separate attachment.

Appendix XII. Analysis of the CSO Network for Open Parliament

See separate attachment.

Appendix XIII. Focus Group Report: “Citizen Participation and Social Audit” Course

See separate attachment.

Appendix XIV. Methodology to Identify Incentives and Capacities of CSOS to Form and Work Jointly through Coalitions, Networks and Partnerships

See separate attachment.

Appendix XV. List of Working Groups under the 2016-2018 Open Government Action Plan

See separate attachment.



Participación Cívica Project

Síntesis Ejecutiva

Reporte Trimestral / Reporte anual – Año 1

Síntesis Ejecutiva

El Proyecto “Civil Society for Accountable Governance and Citizen Security (CSAGCS)”, también conocido como *Participación Cívica*, de aquí en adelante referido como “el Proyecto”, es una iniciativa de cinco años financiada por la Agencia de los Estados Unidos para el Desarrollo (USAID) en el marco del GCSS-LWA (Global Civil Society Strengthening Leader with Associates). El objetivo principal del Proyecto es: ***fortalecer y desarrollar las capacidades institucionales internas de las Organizaciones de la Sociedad Civil (OSC) en Guatemala para que asuman un rol más eficaz en atender temas de transparencia, rendición de cuentas y la problemática de corrupción en el país.*** El Proyecto pretende alcanzar este objetivo a través de dos objetivos mutuamente complementarios:

- **Objetivo 1:** Apoyar los esfuerzos de las OSC dirigidas a promover una gestión responsable de los asuntos públicos y la lucha contra la corrupción, y
- **Objetivo 2:** Fortalecer la capacidad institucional y técnica de las OSC a quienes se dirige el Proyecto.

El Proyecto es implementado por Counterpart International Inc. (Counterpart), en asociación con Palladium International (Palladium), la International Foundation for Electoral Systems (IFES) y el International Research and Exchanges Board (IREX).

En los últimos dos trimestres del Año 1, las actividades del Proyecto se incrementaron exponencialmente en tres áreas: servicios de Asistencia Técnica (TA por sus siglas en inglés), apoyo en el Desarrollo Organizacional (OD por sus siglas en inglés), y capacitaciones. Como resultado, el Proyecto alcanzó resultados significativos en todas sus intervenciones planeadas, lo cual sirve como base para el trabajo del Proyecto en el Año 2 (Ver **Apéndice VIII** para fotografías relevantes del Proyecto en el cuarto trimestre).

Este informe sirve también como Reporte Anual, según la sección B. Informe trimestral de Desempeño (Reportes de Monitoreo de Desempeño) en el Anexo A.5 de la sección de Reportaje y Evaluación del Acuerdo Cooperativo que, además del Cuarto Reporte Trimestral (Q4), resume también los logros del Proyecto en el Año 1.

Uno de los logros más significativos del Proyecto en el Año 1 fue la reactivación de la iniciativa de la Alianza para el Gobierno Abierto (OGP por sus siglas en inglés) en Guatemala, la cual se encontraba paralizada durante más de un año debido a la falta de voluntad política y a la corrupción imperante que caracterizó a la administración pública anterior. La iniciativa de la OGP busca comprometer al Gobierno de Guatemala y Organizaciones de la Sociedad Civil (OSC) en el diseño y ejecución conjunta de actividades encaminadas a promover los principios fundamentales del gobierno abierto - la participación ciudadana, la transparencia gubernamental y la rendición de cuentas. El Proyecto fortaleció el mandato de la OGP en Guatemala a través de estrategias de TA para la Red de OSC de Gobierno Abierto - una coalición de seis OSC conformada con la guía y apoyo técnico del Proyecto - y asistencia para mejorar la coordinación entre las OSC y el Gobierno de Guatemala. Estos esfuerzos resultaron en una formulación participativa del Plan de Acción de Gobierno Abierto 2016-2018 y su aprobación por parte del Gobierno de Guatemala el 11 de agosto. Además, la coalición de OSC y OGP hizo un compromiso para implementar una serie de reuniones informativas con las OSC en general, con el fin de garantizar el flujo de información y actualizaciones relacionadas con el estado del proceso de la OGP.

Sin embargo, algunas de las debilidades institucionales que afligen actualmente al Organismo Ejecutivo, tales como la falta de una agencia encargada de supervisar las actividades de gobierno abierto, puede obstaculizar el progreso en virtud de este Plan. En respuesta a este desafío, y para propiciar la sostenibilidad de la iniciativa de gobierno abierto a largo plazo, el Proyecto brindó asistencia técnica y logística a la Red

de OSC de Gobierno Abierto y al Punto de Contacto de OGP por parte del Gobierno, durante el cuarto trimestre del año. Como resultado de este apoyo, el Proyecto coordinó mesas técnicas mensuales durante el cuarto trimestre - un foro en donde las OSC y el Gobierno de Guatemala convergen para evaluar el progreso del Plan de Acción - y facilitó la puesta en marcha de actividades iniciales para una serie de grupos de trabajo para la elaboración del Plan de Acción - el mecanismo mediante el cual los compromisos del Plan de Acción serán ejecutados.

Durante este trimestre, el Proyecto también tuvo éxito en fundar las bases para establecer a una iniciativa de Congreso Abierto, la cual pretende aplicar los mismos principios fundamentales de Gobierno Abierto al Congreso. Debido a que el Organismo Legislativo ya es parte de la OGP, al asumir la responsabilidad de coordinar la ejecución de dos compromisos relevantes del Plan de Acción del Gobierno Abierto 2016-2018⁵⁵, un mecanismo de Congreso Abierto permitirá complementar y ampliar el trabajo del Congreso, y posicionar a Guatemala como uno de los pocos países en el hemisferio con un enfoque más amplio en cuanto a los principios de gobierno abierto, que se extiende más allá del Organismo Ejecutivo hacia otras agencias del Gobierno importantes. Además, el Plan de Acción, a desarrollarse a través de una iniciativa de Congreso Abierto, servirá como un canal para incidir más eficazmente en la adopción de reformas encaminadas a fortalecer el marco jurídico contra la corrupción en Guatemala. Hasta la fecha, la labor del Proyecto en esta área se concentra principalmente en la creación de una Red de OSC de Congreso Abierto; proporcionando a sus potenciales miembros apoyo en cuanto a la planificación estratégica y asistencia para la elaboración de un borrador que contenga los mecanismos de gobernanza de la Red. El Proyecto llevó a cabo estas tareas en colaboración con el *National Democratic Institute* (NDI) para aprovechar su estrecha cooperación con el Congreso, y para complementar los conocimientos técnicos de cada organización.

En cuanto al componente de Subvenciones Combinadas para el Fortalecimiento Institucional (ISCB por sus siglas en inglés), el Proyecto publicó dos Solicitudes de Aplicaciones (RFA por sus siglas en inglés) en el Año 1 para la Fase 1 (tercer trimestre) y la Fase 2 (cuarto trimestre). La Fase 1 de la RFA fue diseñada tomando en cuenta las necesidades identificadas en el análisis institucional realizado al comienzo del Proyecto. Para la Fase 1, cinco OSC fueron seleccionadas⁵⁶ para implementar proyectos específicamente en los siguientes sectores: justicia, acceso a la información pública, ética y rendición de cuentas en la administración pública, salud, y reforma tributaria. La RFA para la Fase 2 fue diseñada tomando en cuenta el contexto socio-político, las ventanas de oportunidad, las necesidades ciudadanas relacionadas con el objetivo general del Proyecto, y los objetivos tales como la OGP, la Transparencia Presupuestaria y Auditoría Social, el Marco Legal de Anticorrupción, los Servicios Públicos, y el Periodismo de Investigación.

Durante este período de informes, el Proyecto recibió la aprobación final del Fondo de Respuesta Rápida (RRF por sus siglas en inglés) y el Manual de Subdonaciones por parte de USAID. El proyecto prevé otorgar subvenciones en el marco de la Fase 1 en el primer trimestre del Año 2, con subvenciones concedidas en el marco de la Fase 2 en el segundo trimestre del Año 2.

Asimismo, en el Año 1, el Proyecto organizó diez cursos de capacitación (dos más de lo previsto inicialmente), cinco de los cuales tuvo lugar en el cuarto trimestre del año, dirigidos a las OSC de varios

⁵⁵ Compromiso #4 – Instalar una mesa multisectorial para discutir, elaborar y presentar un proyecto de ley para fortalecer el derecho de Acceso a la Información Pública, archivos institucionales, y la institución reguladora; y Compromiso #12 – Crear e institucionalizar mecanismos de opinión ciudadana para los proyectos de ley.

⁵⁶ La fase 1 incluyó el lanzamiento de una Solicitud de Aplicación limitado para OSC líder, identificadas en el ejercicio de mapeo de OSC realizado por el Proyecto a principios de año. Estas OSC seleccionadas se encuentran todavía en el proceso de revisión por parte de USAID para su aprobación final como subdonatarios del Proyecto.

sectores transversales y áreas temáticas de especialización, incluyendo la salud, la educación, y las poblaciones marginadas⁵⁷, entre otras, con el fin de reforzar su capacidad para desempeñar un rol más eficaz en el fomento de la rendición de cuentas, la transparencia y la participación ciudadana. En total, el Proyecto capacitó a 229 personas⁵⁸ (125 mujeres y 104 hombres) de 82 OSC (8 ONGs, 3 organizaciones del sector privado, 60 fundaciones y asociaciones, 3 tanques de pensamiento, y 8 medios de comunicación), y 5 agencias del Gobierno. El **Apéndice I** resume toda la información relacionada con los cursos de capacitación ingresados en TraiNet.

Al exponer a representantes de las OSC a herramientas básicas de escrutinio, el Proyecto comenzó a construir las capacidades técnicas de las OSC para abordar su trabajo en la lucha contra la corrupción de manera más eficaz. El programa de capacitaciones incluyó cursos introductorios en temas técnicos relevantes, incluyendo el Acceso a la Información, Contrataciones del Gobierno, Auditoría Social, y Gobierno Abierto. Estos cursos se complementaron mediante sesiones de capacitación en otras áreas para avanzar el impacto de sus actividades de incidencia/anticorrupción y apoyar su desarrollo organizacional, incluyendo: las Comunicaciones y los Medios de Comunicación, Técnicas de Facilitación, la Equidad de Género e Inclusión Social (GESI), y el Desarrollo de Propuestas.

Además, durante este trimestre, el Proyecto completó con éxito 10 Evaluaciones Participativas de Desarrollo Organizacional (PODA por sus siglas en inglés) y 9 sesiones de Plan de Acción para el Fortalecimiento de las Capacidades (CBAP por sus siglas en inglés) con OSC líder identificadas en el mapeo de OSC del Proyecto, realizado a principios del año. Basado en los resultados de cada PODA realizado con las OSC, el Proyecto implementó y facilitó sesiones de trabajo para ayudar a las OSC en el desarrollo de sus CBAPs. Estos CBAPs son herramientas cruciales para guiar un continuo desarrollo organizacional de cada OSC, y definirán el componente de OD para futuras subvenciones⁵⁹, y apoyarán la ejecución de actividades para el fortalecimiento institucional en el Año 2. A través de este enfoque para el desarrollo de las OSC (desarrollo de capacidades técnicas y desarrollo organizacional tradicional), el Proyecto espera ver un aumento de la efectividad de las actividades desarrolladas por las OSC participantes y, cuando sea aplicable, el aumento en las puntuaciones de las evaluaciones de OD.

Como parte de su estrategia de OD, el Proyecto también proporcionó durante este trimestre asesoramiento y asistencia técnica a las OSC para integrar los principios de GESI en sus estructuras organizacionales y sus prioridades programáticas. Actividades clave incluyeron el desarrollo y facilitación de un curso de formación sobre GESI a las OSC, así como la integración de enfoques de GESI en el contenido de otras capacitaciones brindadas por el Proyecto. Adicionalmente, el Proyecto revisó y actualizó su estrategia sobre GESI y sus herramientas de OD para garantizar resultados equitativos y sostenibles de GESI. La estrategia de GESI fue presentada a USAID en agosto 22 y se encuentra actualmente pendiente de aprobación.

⁵⁷ El proyecto identificará a las poblaciones marginadas que nosotros y nuestras OSC aliadas darán prioridad con el fin de maximizar la inclusión en todos nuestros esfuerzos, a través de los esfuerzos combinados del estudio de línea de base y la equidad de género y la inclusión social (GESI). Análisis a ser realizado por Palladium durante el primer trimestre del Año 2, como parte de la estrategia de GESI del Proyecto. Factores que pueden afectar a un individuo y/o comunidad al colocarlos en posiciones vulnerables o marginadas son (pero no limitados a): el sexo; edad; etnicidad; ubicación geográfica (rural/urbano); la orientación sexual o identidad de género; y la discapacidad. **A lo largo de este informe se utiliza el término "poblaciones marginalizadas" para representar a estas poblaciones que serán identificadas.**

⁵⁸ Cuatro de estos participantes representaron a la comunidad LGTBI y se identificaron como "otros". Para los procesos de presentación de informes, el Proyecto utilizó un etiquetado subjetivo basado en el aspecto biológico y nombres de los participantes.

⁵⁹ Mientras que el proyecto trabajó con 10 OSC en el Año 1 para llevar a cabo estas actividades de OD, no existe un vínculo directo entre este trabajo y la concesión de subvenciones en el futuro. En la actualidad, 5 de las 10 OSC fueron pre-seleccionadas durante el proceso de subvenciones de la Fase 1.